DOCUMENT RESUME

ED 127 902 HE 008 220

AUTHOR Michal, June, Comp.
TITLE Handbook for Faculty and Other Unclassified Staff. The University of Kansas.
INSTITUTION Kansas Univ., Lawrence.
PUB DATE Jan 76
NOTE 63p.

EDRS PRICE MF-$0.83 HC-$3.50 Plus Postage.
DESCRIPTORS Academic Freedom; Administrative Organization; *Administrative Personnel; Administrator Responsibility; *College Faculty; Fringe Benefits; Governance; *Higher Education; Job Tenure; Leave of Absence; *Personnel Policy; Research; *Teacher Responsibility
IDENTIFIERS *Faculty Handbooks; *University of Kansas

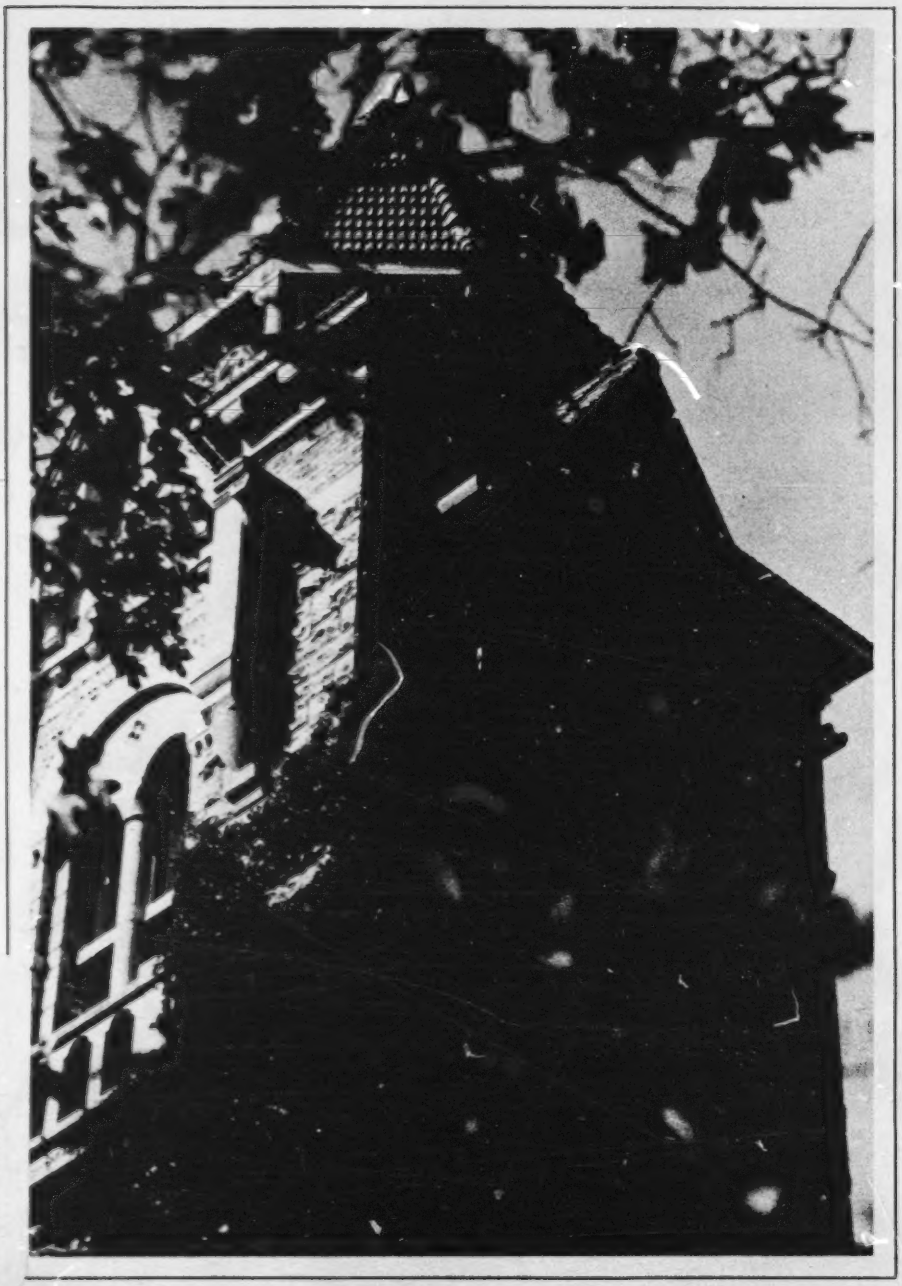
ABSTRACT

This edition of the handbook of the University of Kansas is conceived and published more as a policy manual than as an informational text. Included are policies, regulations, and other data of interest to staff members. Details are provided on: university organization; university government; faculty appointment policies and procedures; appointment terms and benefits; leave policies; academic rules and regulations; services; research; and general policies and procedures. Further information on academic freedom, tenure, and selection and review of administrators is given in the appendices. (LBH)

****
* Documents acquired by ERIC include many informal unpublished *
* materials not available from other sources. ERIC makes every effort *
* to obtain the best copy available. Nevertheless, items of marginal *
* reproducibility are often encountered and this affects the quality *
* of the microfiche and hardcopy reproductions ERIC makes available *
* via the ERIC Document Reproduction Service (EDRS). EDRS is not *
* responsible for the quality of the original document. Reproductions *
* supplied by EDRS are the best that can be made from the original. *
****

ED127902

Handbook for Faculty and Other Unclassified Staff



U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

HE008220

The University of Kansas

Handbook for Faculty and Other Unclassified Staff

The University of Kansas

Compiled by June Michal
Office of Academic Affairs
January 1976

THE UNIVERSITY OF KANSAS

Office of the Chancellor
223 Strong Hall, Lawrence, Kansas 66045
(913) 864-3131

December 22, 1975

Dear Colleagues,

With this edition, the Handbook for Faculty and Other Unclassified Staff is changed both in format and content. As you will note, it has been printed in looseleaf form to facilitate updating. When changes or additions are made, new pages will be sent to you so that you may insert them in your copy.

Perhaps the most noteworthy change is in content. Because we are all more and more affected by legislation, charters, guidelines, rules, and regulations, this edition of the Handbook has been conceived and published more as a policy manual than as an informational text. Included are policies, regulations, and other information which you should find useful professionally. Policies quoted from other documents are printed in bold-face type.

If, after you have had opportunity to peruse your copy of the Handbook, other possible refinements or changes occur to you, please communicate them to the Vice Chancellor for Academic Affairs on the Lawrence campus or to the Vice Chancellor for Faculties and Academic Affairs in the College of Health Sciences. We want the Handbook to be of maximal use to you, and your comments and suggestions about ways to improve it will help assure the achievement of that goal.

Sincerely,

Archie R. Dykes

Archie R. Dykes
Chancellor

The University of Kansas . . . established 1865

TABLE OF CONTENTS

Chancellor's Comments

A. University Organization
   1. The Board of Regents
   2. The University
   3. Lawrence Campus
   4. College of Health Sciences and Hospital
   5. Organization and Administration of the Schools
   6. Administrative Organization Charts
      a. Office of the Chancellor
      b. Executive Vice Chancellor (Lawrence Campus)
         1) Academic Affairs
         2) Student Affairs
         3) Research and Graduate Studies
      c. Executive Vice Chancellor (Health Sciences and Hospital)
         1) Faculties and Academic Affairs
         2) Clinical Affairs
         3) Students
         4) Medical Center Administration
      d. Business and Fiscal Affairs
      e. Support Services
      f. Facilities Planning

B. University Government
   1. Charter of the Governmental Bodies
   2. Governmental Organization
   3. Governmental Organization Chart

C. Faculty Appointment Policies and Procedures
   1. Basis of Appointment
   2. Faculty Ranks
   3. Special Professorships
   4. Promotions
   5. Tenure
   6. Probationary Period
   7. Notice of Non-Reappointment
   8. Appeals
   9. Faculty Report Forms
   10. Resignations
   11. Retirement Eligibility

D. Appointment Terms and Benefits
   1. Salary Payments
   2. Employee's Oath
   3. Proof of Date of Birth
   4. Payroll Deductions
   5. Summer Session Appointments
   6. Continuing Education Service
   7. The "Eleven-Month Rule"
   8. Conversion of Term of Appointment
   9. Compensation in Excess of Full-Time Salary
   10. Reimbursement for the Expenses of Administrative Travel
   11. Faculty Travel to Meetings of Learned Societies
   12. Group Health and Hospitalization Insurance
   13. Retirement Plans
   14. Group Life and Salary Continuation Insurance
   15. Workmen's Compensation
   16. Unemployment Compensation
   17. Retired Teachers and Employees Benefits

18. Employment of Relatives
19. Identification Cards
20. Faculty and Staff Enrollment
21. Employment or Continuation of Employment after Age Seventy
22. Employment after Retirement
23. Research Work by Emeritus Staff

E. Leave Policies
1. Sabbatical Leave
2. Extra Compensation While on Sabbatical Leave
3. Leave Without Pay
4. Vacation
5. Sick Leave
6. Military Leave

F. Academic Rules and Regulations
1. Academic Calendar
2. Admission, Registration, Advising, and Enrollment
3. Attendance
4. Visitors
5. Tests, Examinations, and Final Examinations
6. Grades
7. Confidentiality of Student Records
8. Academic Misconduct
9. Special Provisions for Students on the Lawrence Campus
   a. Dean of Men/Dean of Women
   b. Student Health Service
   c. University Counseling Center
   d. Intensive English Center
10. Special Provisions for Students on the Medical Center Campus

G. Services
1. Mail Service
2. Office Supplies
3. Purchasing
4. Printing and Binding
5. Publications
6. Textbook Orders
7. Telephone Lines
8. Official Hospitality
9. Parking and Traffic: Policy-Making Bodies
10. Parking and Traffic: Regulations
11. Scheduling Events

H. Research
1. Research Administration
2. Classified Research
3. Copyright Procedures
4. Patent Policy
5. Research, Health, and Safety
   a. Human Subjects
   b. Animal Care
   c. Health Physics—Radiation Sources
6. Research Aids

I. General Policies and Procedures
1. Academic Freedom
2. Affirmative Action
3. Campus Speakers
4. Conflict of Interest
   a. Conflict Situations
   b. Standards of Conduct

c. University Procedures
d. State Regulations
5. Consulting and Outside Work
6. Human Rights
7. Political Activity
8. Lobbying Regulations
9. Alcohol Regulations
10. Smoking Regulations

Appendix
(Lawrence Campus)
I. Guidelines and Criteria for Tenure and Promotion
II. Procedures for Recommendations for Promotion, Award of Tenure, Notice of Non-Reappointment
III. Procedures for Cases Involving Academic Freedom and Tenure
IV. Selection, Appointment, Tenure and Review of Vice Chancellors, Deans, Directors and Chairpersons

A. UNIVERSITY ORGANIZATION

1. The Board of Regents
2. The University
3. Lawrence Campus
4. College of Health Sciences and Hospital (Medical Center Campus)
5. Organization and Administration of the Schools
6. Administrative Organization Charts
   a. Office of the Chancellor
   b. Executive Vice Chancellor (Lawrence Campus)
      1) Academic Affairs
      2) Student Affairs
      3) Research and Graduate Studies
   c. Executive Vice Chancellor (Health Sciences and Hospital)
      1) Faculties and Academic Affairs
      2) Clinical Affairs
      3) Students
      4) Medical Center Administration
   d. Business and Fiscal Affairs
   e. Support Services
   f. Facilities Planning

A.1 THE BOARD OF REGENTS

The University of Kansas is one of six state institutions of higher education governed by the State Board of Regents. Established in 1925 by the Kansas Legislature, the Board consists of nine members who are appointed by the Governor of Kansas with the advice and consent of the State Senate. State law requires that no more than five members shall be identified with the same political party. Members of the Board serve for overlapping terms of four years each.

The Board is assisted by a professional staff which enables the members of the Board to address questions of general policy. Normally, neither the Board nor its staff enters into the internal administration or operation of the University. However, administrative procedures prescribed for the agencies of the State of Kansas apply to the University, and much of the procedural detail which governs the operation of the University is defined by state law or by regulations issued by the Department of Administration.

In its consideration of policies, the Board is normally guided by recommendations from the chief executive officers of the six Regents' institutions. Copies of the minutes of the Board are deposited in the office of the Dean of Libraries and may be consulted freely.

A.2 THE UNIVERSITY

The chief executive officer of the University is the Chancellor, who is named by and serves at the pleasure of the Board of Regents. As chief executive officer, the Chancellor serves as head of the state agencies which comprise the University.

In the actual administration of the University and in the maintenance of relationships with the Board of Regents, the Legislature, and state agencies and offices, the Chancellor is assisted by a staff which includes: the Executive Vice Chancellor for the Lawrence campus, the Executive Vice Chancellor for the College of Health Sciences and Hospital; the Executive Secretary of the University, the University Director of Business and Fiscal Affairs, the Assistant to the Chancellor, the Assistant to the Chancellor for Support Services, the General Counsel of the University, and the University Director of Institutional Planning.

The two executive vice chancellors are the Chancellor's principal academic and administrative officers. It is the responsibility of the executive vice chancellors to direct the internal affairs of their respective campuses and to assume, with the Chancellor, general responsibility for the effective and efficient fulfillment of the mission of the University.

A.3 LAWRENCE CAMPUS

The primary administrative officer for the Lawrence campus is the Executive Vice Chancellor, who is appointed by and serves at the pleasure of the Chancellor. The Executive Vice Chancellor is assisted in the administration of the Lawrence campus by the Vice Chancellor for Academic Affairs, the Vice Chancellor for Student Affairs, the Vice Chancellor for Research and Graduate Studies, and other staff officers. The vice chancellors are appointed by the Executive Vice Chancellor, with the consent of the Chancellor.

The Vice Chancellor for Academic Affairs has responsibility for the direction, coordination, and general supervision of academic programs and activities on the Lawrence campus. The deans of the several schools and the directors of most related supporting units receive their budget allocations from the Office of Academic Affairs and channel their requests for funding and personnel through that office.

The Vice Chancellor for Student Affairs has responsibility for the supporting services provided to students by the University of Kansas. The Vice Chancellor oversees the operation of the offices of: Dean of Men, Dean of Women, Dean of Foreign Students, Student Financial Aid, Student Health Service, University Counseling Center, Admissions and Records and other non-academic units and activities for students.

The Vice Chancellor for Research and Graduate Studies also serves as Dean of the Graduate School and, in that capacity, oversees the advanced degree programs of the several schools of the University. The Vice Chancellor is also responsible for the administration of state and federal research funds handled by the University. Other responsibilities include operational responsibility for: Bureau of Child Research, State Geological Survey, State Biological Survey, Institute for Social and Environmental Studies, the several museums (except the Museum of Art, which reports to Academic Affairs), and other research institutes and units. Budget allocations for these divisions and for all research funds are handled by the Vice Chancellor's office.

There are eleven schools on the Lawrence campus: College of Liberal Arts and Sciences, Graduate School, School of Architecture and Urban Design, School of Business, School of Education, School of Engineering, School of Fine Arts, School of Law, School of Pharmacy, School of Social Welfare, and the William Allen White School of Journalism and Public Information.

In addition to the organized schools, there are a number of divisions and services on the Lawrence campus. Among these are the Libraries and Museums, the Division of Continuing Education, the Computation Center, the Summer Session program, the Kansas Geological Survey, and various research units.

Several service entities are located on the Lawrence campus of the University and contribute to the achievement of institutional goals. These include the Alumni Association, the Athletic Corporation, the Endowment Association, the Memorial Corporation (which administers the operation of the Kansas Union), and the Center for Research, Inc.

University policy provides that vice chancellors shall have their performances reviewed at least every five years.

A.4 COLLEGE OF HEALTH SCIENCES AND HOSPITAL

The primary administrative officer for the College of Health Sciences and Hospital is the Executive Vice Chancellor, who is

appointed by and serves at the pleasure of the Chancellor. The Executive Vice Chancellor is assisted in the administration of the College by the Vice Chancellor for Faculties and Academic Affairs, the Vice Chancellor for Clinical Affairs, the Vice Chancellor for Students, the Vice Chancellor for Medical Center Administration, the Vice Chancellor for the Wichita State Branch of the School of Medicine, and other staff officers. The vice chancellors are appointed by the Executive Vice Chancellor, with the consent of the Chancellor.

The Vice Chancellor for Faculties and Academic Affairs has responsibility for the direction, coordination, and general supervision of academic programs and activities of the College of Health Sciences. The deans of the schools of the College of Health Sciences receive their budget allocations from the Office of Academic Affairs and channel their requests for academic funding and personnel through that office.

The Vice Chancellor for Clinical Affairs has general responsibility for the quality, scope, and efficiency of the professional aspects of in- and out-patient care and of related educational programs for house staff.

The Vice Chancellor for Students has responsibility for supporting services, counseling programs for students, the Division of Learning Resources, and for coordinating outreach programs.

The Vice Chancellor for Medical Center Administration has responsibility for the hospital departments of the Medical Center and for many of the Medical Center's supporting services, including the Hospital Administration, and Patient Accounts and Admitting.

The Vice Chancellor for the Wichita State Branch of the School of Medicine has responsibility for the administration of the clinical program at the Wichita State Branch.

There are three schools in the College of Health Sciences: School of Medicine (with branches in Kansas City and Wichita), School of Nursing, and School of Allied Health. In addition to the organized schools, there are a number of divisions and services in the College of Health Sciences. These include the Division of Continuing Education, the Computation Center, the Burnett Burn Center, the Mid-America Cancer Center, and several other research and service units.

Several service entities are also located at the Medical Center and contribute to the achievement of institutional goals. These include the Student Union Corporation, the medical and nursing alumni organizations, and a branch office of the Endowment Association.

A.5 ORGANIZATION AND ADMINISTRATION OF THE SCHOOLS

The chief administrator of each school is a dean, who is appointed by and serves at the pleasure of the appropriate Vice Chancellor for Academic Affairs, with the consent of the Executive Vice Chancellor and the Chancellor. (See Appendix for selection procedures.)

On the Lawrence campus, the College of Liberal Arts and Sciences and the Schools of Education, Engineering, Fine Arts, and Pharmacy are organized by departments. Department chairpersons are appointed by the appropriate dean with the concurrence of the Vice Chancellor for Academic Affairs and, where appropriate, the Vice Chancellor for Research and Graduate Studies.

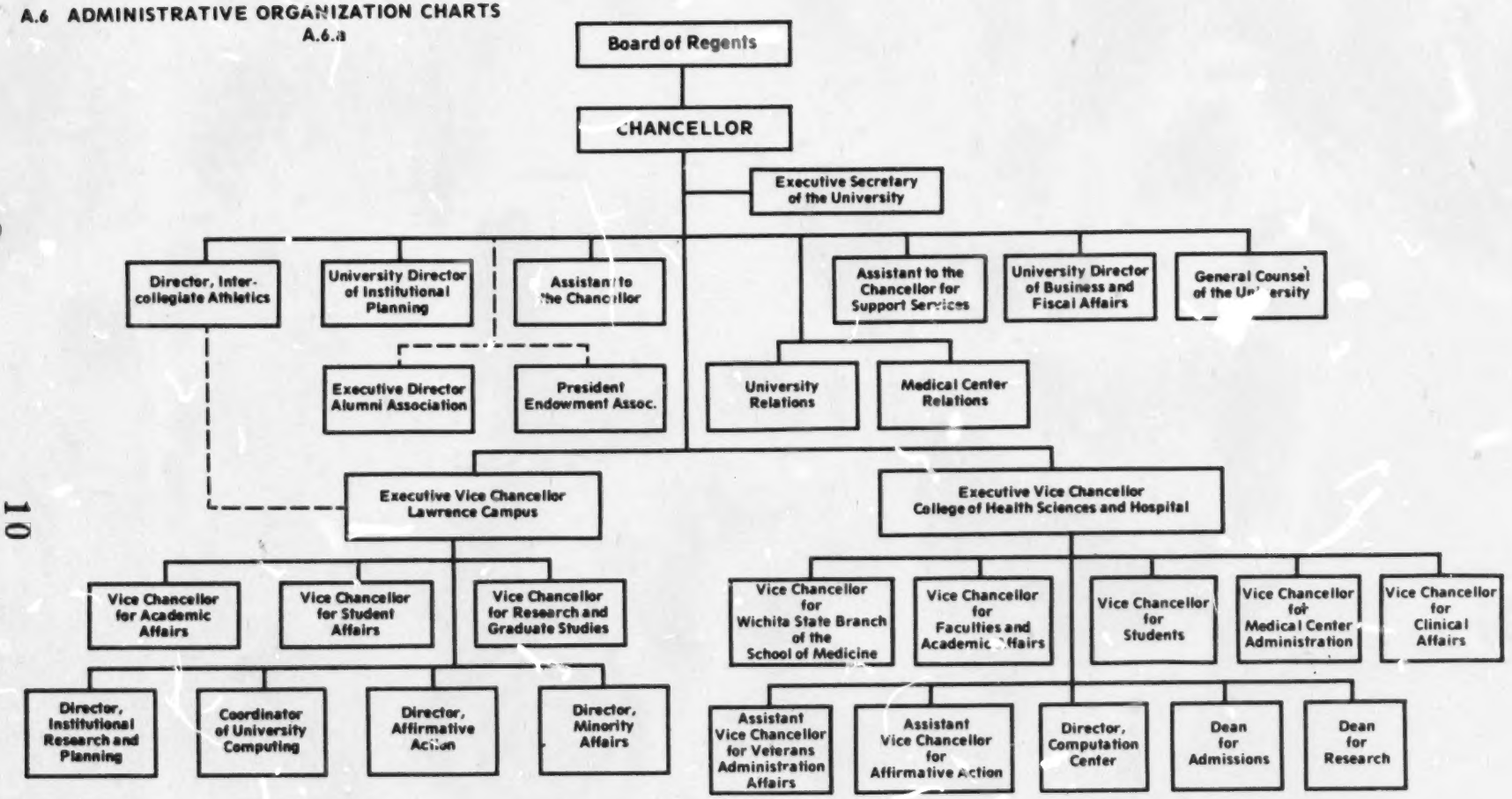
The College of Health Sciences is organized into three schools: Medicine, Nursing, and Allied Health. The schools are further compartmentalized by department, section, or program, and the heads of those units are appointed by the appropriate dean with the concurrence of the Executive Vice Chancellor, the Vice Chancellor for Academic Affairs, and, where appropriate, the Vice Chancellor for Clinical Affairs.

University policy provides that deans and chairpersons shall have their performance reviewed at least once every six years. More recently, many appointments to such administrative positions have been for a specified number of years, often less than the five stipulated by the review procedure.

Subject to the controls of law and administrative overview, the faculty of each school may establish curricula, academic standards, and degree requirements, subject to the following additional provisions: General requirements for admission to graduate study and for graduate degrees are established by the Graduate Assembly; graduate programs and curricula are approved and reviewed by the Graduate Council, which also acts for the Graduate Faculty in awarding degrees, reviewing the performance of the Graduate Studies Divisions of the several schools and colleges in meeting their delegated responsibilities for the admission, advising, supervision and retention of students, the approval of course changes, and the general monitoring of graduate programs in their purview; matters which affect more than one school in the University are subject to the rules and regulations of the Faculty Senate on the Lawrence campus or of the College of Health Sciences Faculty Assembly; and new majors and degree programs must be approved by the Board of Regents.

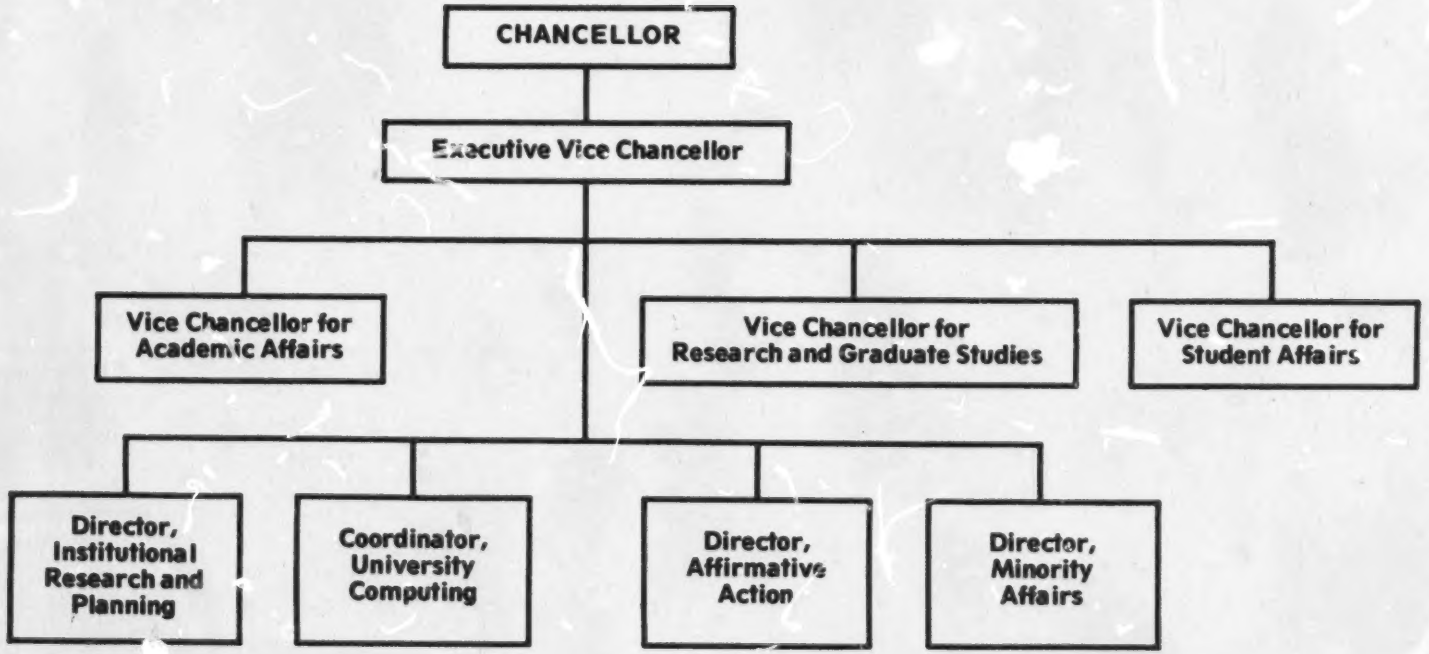
A.6 ADMINISTRATIVE ORGANIZATION CHARTS

A.6.a


Board of Regents
CHANCELLOR
Executive Secretary of the University
Director, Inter-collegiate Athletics
University Director of Institutional Planning
Assistant to the Chancellor
Assistant to the Chancellor for Support Services
University Director of Business and Fiscal Affairs
General Counsel of the University
Executive Director Alumni Association
President Endowment Assoc.
University Relations
Medical Center Relations
Executive Vice Chancellor Lawrence Campus
Executive Vice Chancellor College of Health Sciences and Hospital
Vice Chancellor for Academic Affairs
Vice Chancellor for Student Affairs
Vice Chancellor for Research and Graduate Studies
Vice Chancellor for Wichita State Branch of the School of Medicine
Vice Chancellor for Faculties and Academic Affairs
Vice Chancellor for Students
Vice Chancellor for Medical Center Administration
Vice Chancellor for Clinical Affairs
Director, Institutional Research and Planning
Coordinator of University Computing
Director, Affirmative Action
Director, Minority Affairs
Assistant Vice Chancellor for Veterans Administration Affairs
Assistant Vice Chancellor for Affirmative Action
Director, Computation Center
Dean for Admissions
Dean for Research

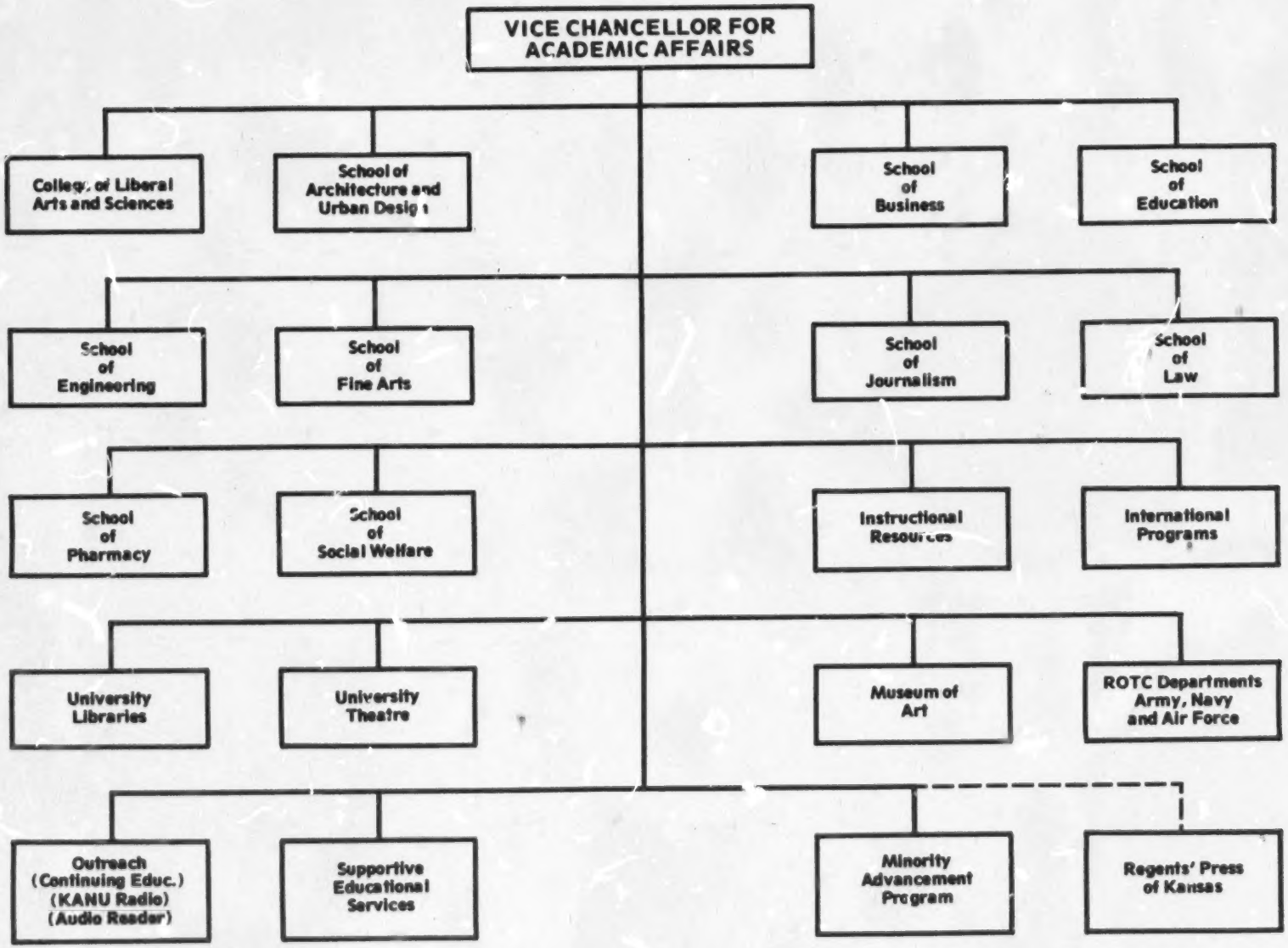
A.6.b

LAWRENCE CAMPUS



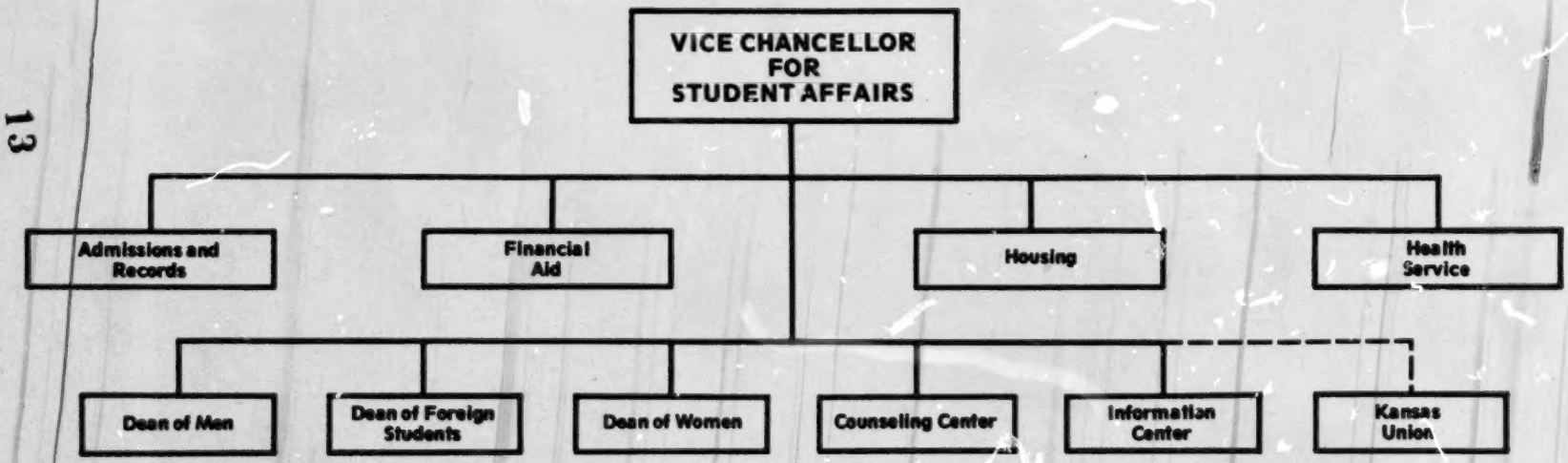
A.6.b.1

LAWRENCE CAMPUS



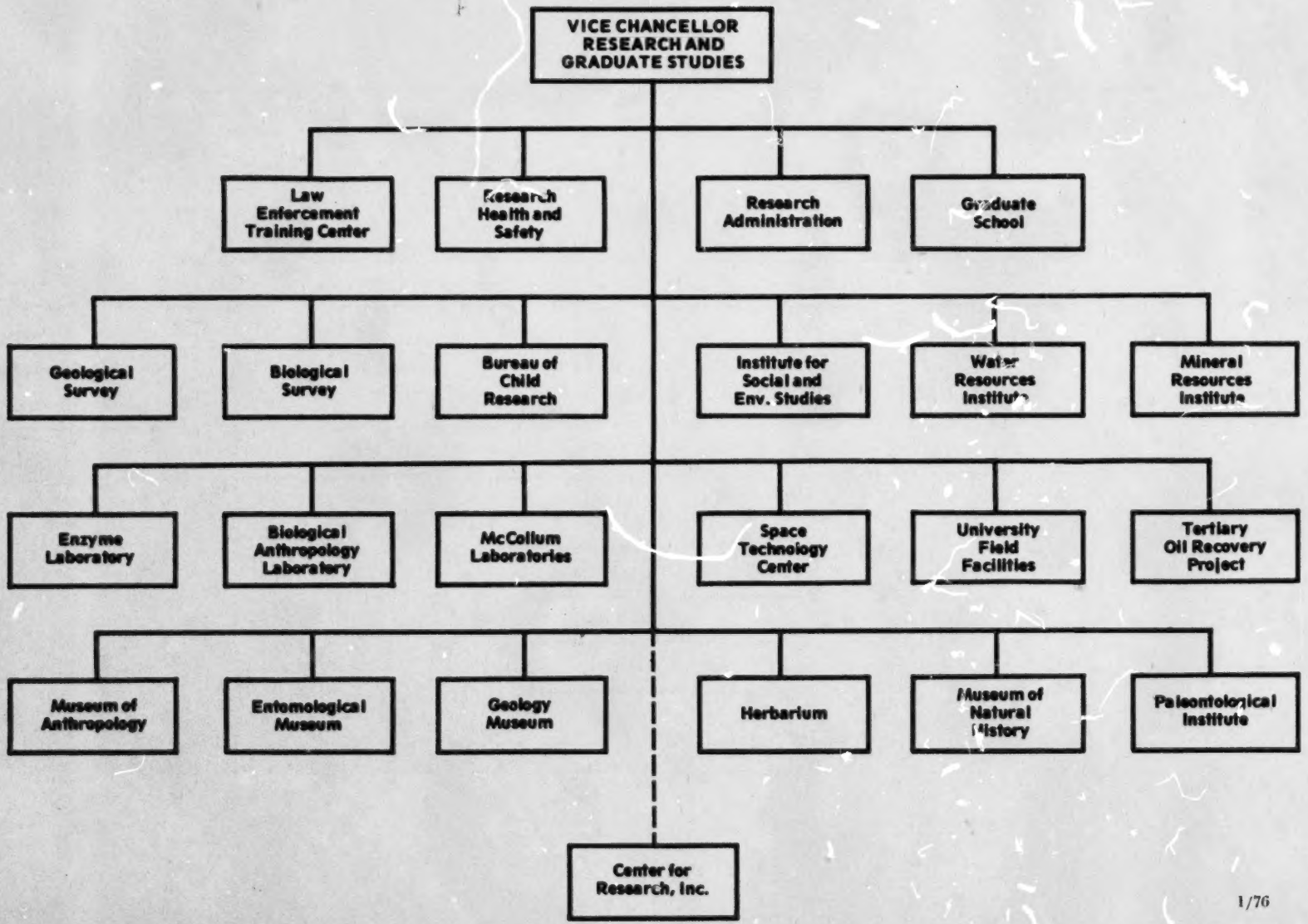
A.6.b.2

LAWRENCE CAMPUS

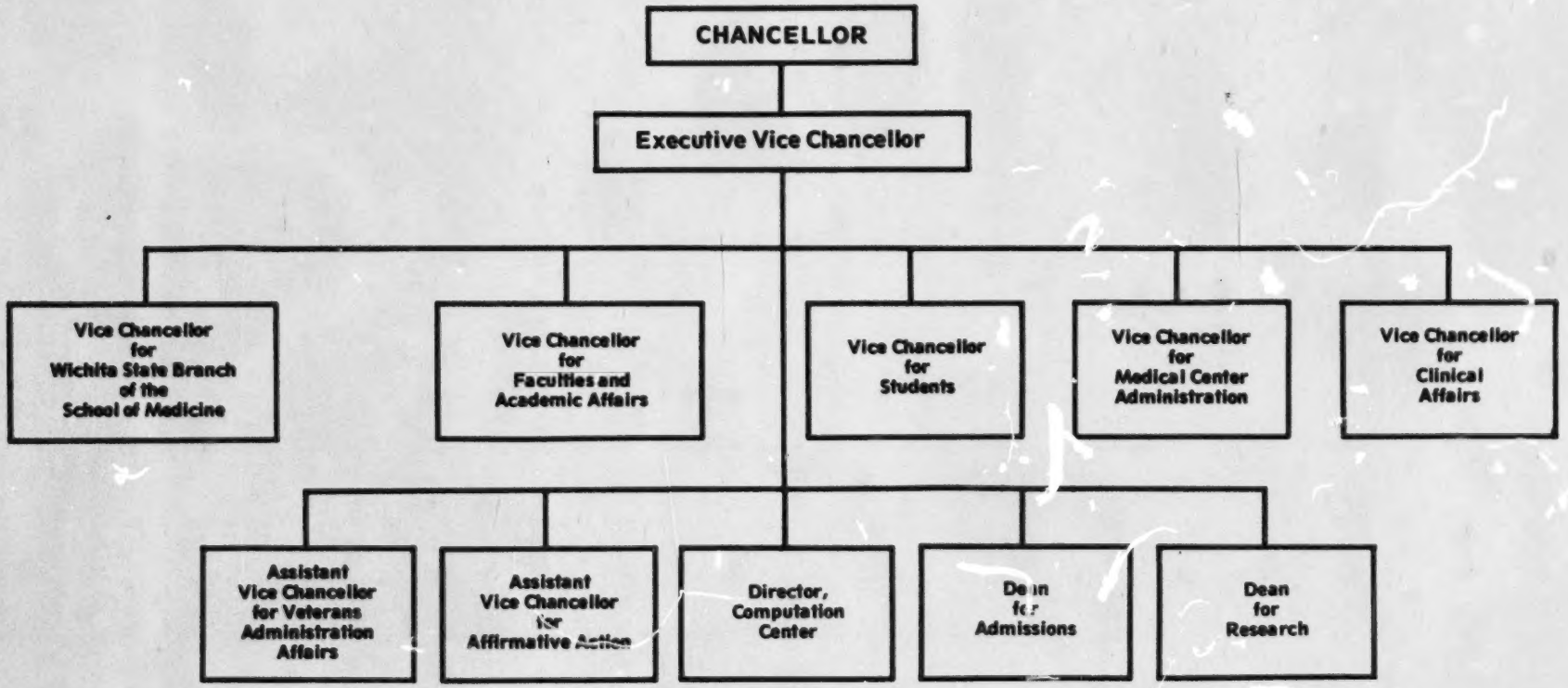


A.6.b.3

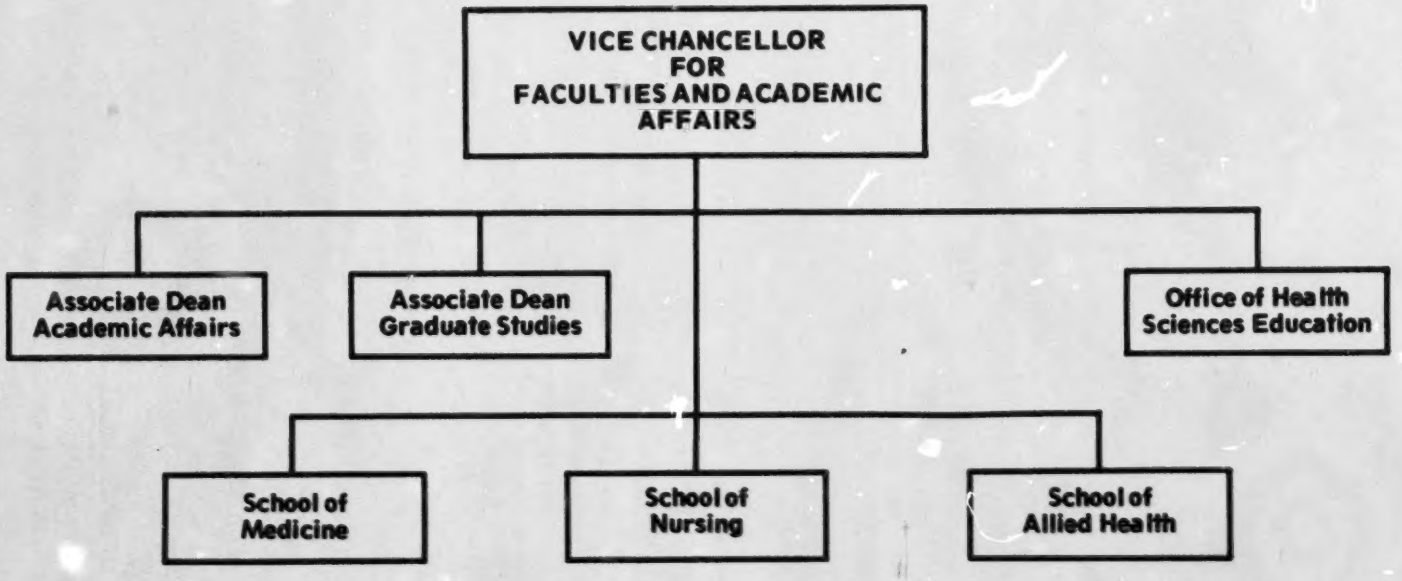
LAWRENCE CAMPUS



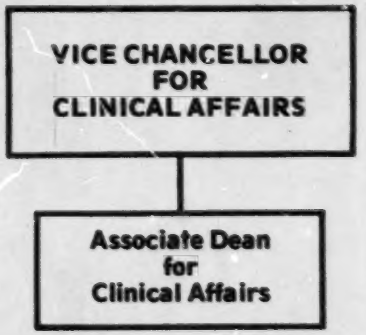
A.6.c COLLEGE OF HEALTH SCIENCES AND HOSPITAL


CHANCELLOR
Executive Vice Chancellor
Vice Chancellor for Wichita State Branch of the School of Medicine
Vice Chancellor for Faculties and Academic Affairs
Vice Chancellor for Students
Vice Chancellor for Medical Center Administration
Vice Chancellor for Clinical Affairs
Assistant Vice Chancellor for Veterans Administration Affairs
Assistant Vice Chancellor for Affirmative Action
Director, Computation Center
Dean for Admissions
Dean for Research

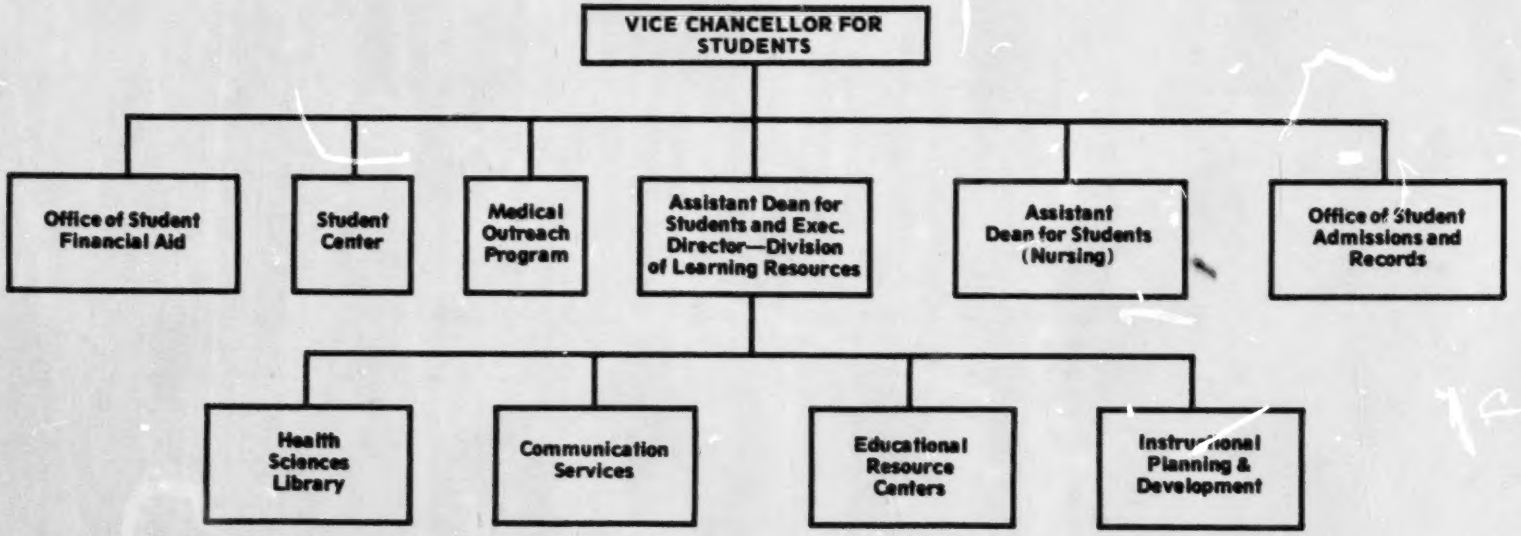
A.6.c.1 COLLEGE OF HEALTH SCIENCES AND HOSPITAL


VICE CHANCELLOR FOR FACULTIES AND ACADEMIC AFFAIRS
Associate Dean Academic Affairs
Associate Dean Graduate Studies
Office of Health Sciences Education
School of Medicine
School of Nursing
School of Allied Health

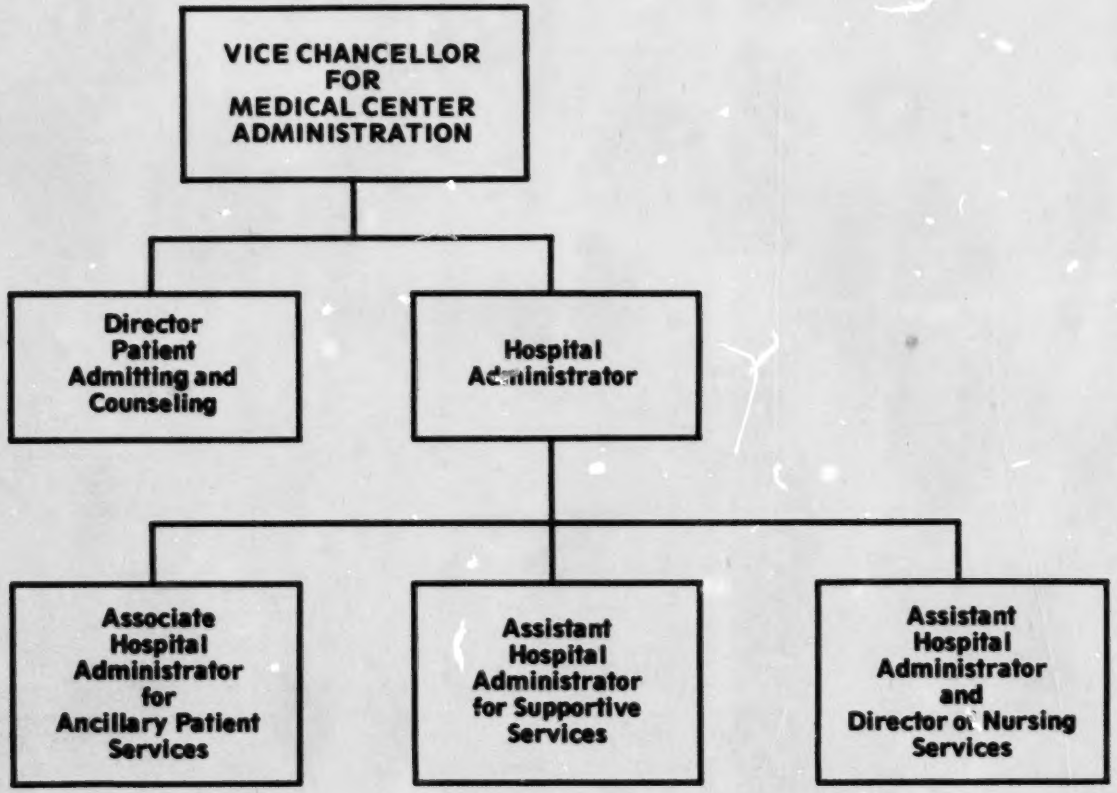
A.6.c.2 COLLEGE OF HEALTH SCIENCES AND HOSPITAL



A.6.c.3 **COLLEGE OF HEALTH SCIENCES AND HOSPITAL**

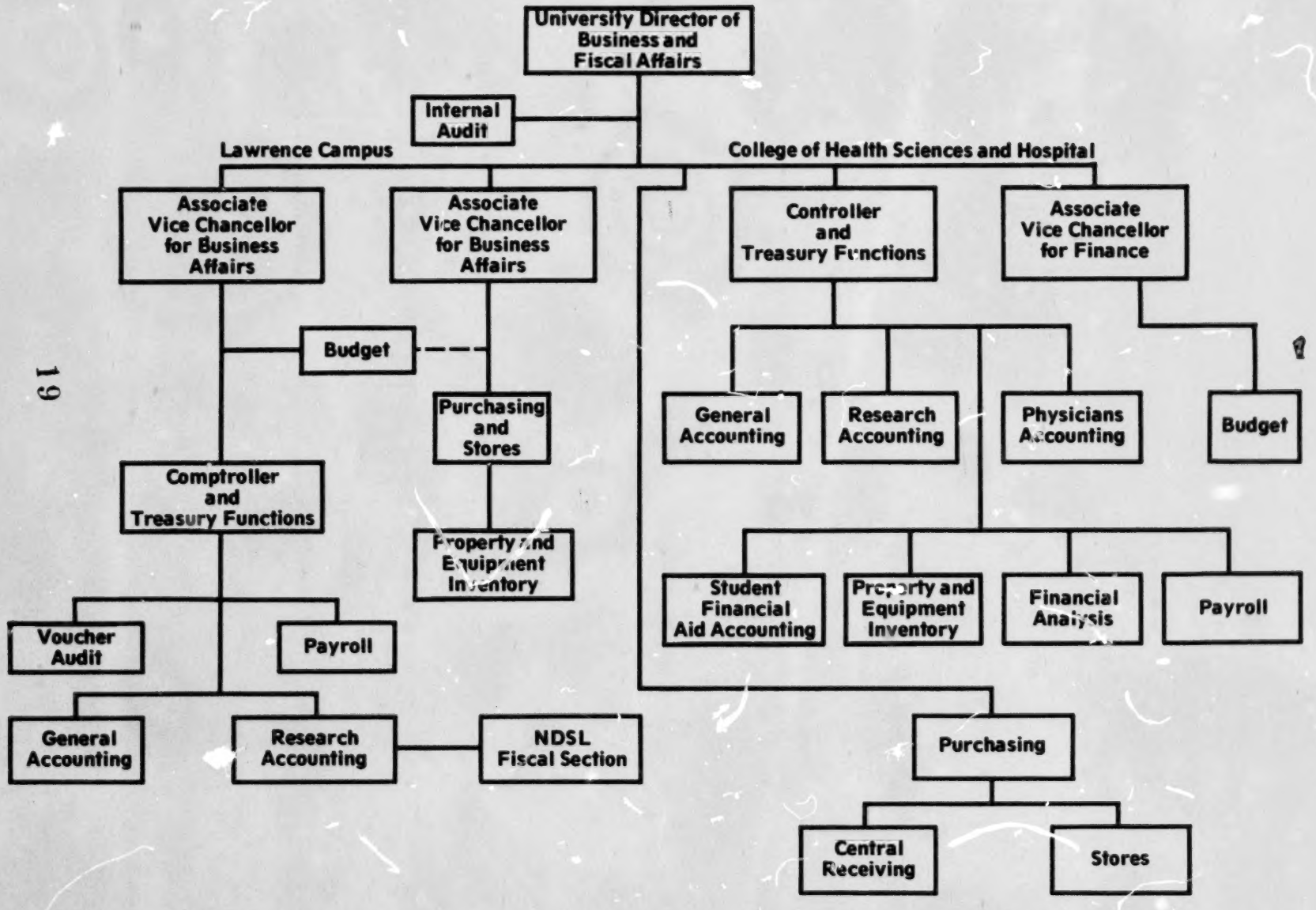

VICE CHANCELLOR FOR STUDENTS
Office of Student Financial Aid
Student Center
Medical Outreach Program
Assistant Dean for Students and Exec. Director—Division of Learning Resources
Assistant Dean for Students (Nursing)
Office of Student Admissions and Records
Health Sciences Library
Communication Services
Educational Resource Centers
Instructional Planning & Development

A.6.c.4 COLLEGE OF HEALTH SCIENCES AND HOSPITAL


VICE CHANCELLOR FOR MEDICAL CENTER ADMINISTRATION
Director Patient Admitting and Counseling
Hospital Administrator
Associate Hospital Administrator for Ancillary Patient Services
Assistant Hospital Administrator for Supportive Services
Assistant Hospital Administrator and Director of Nursing Services

A.6.d

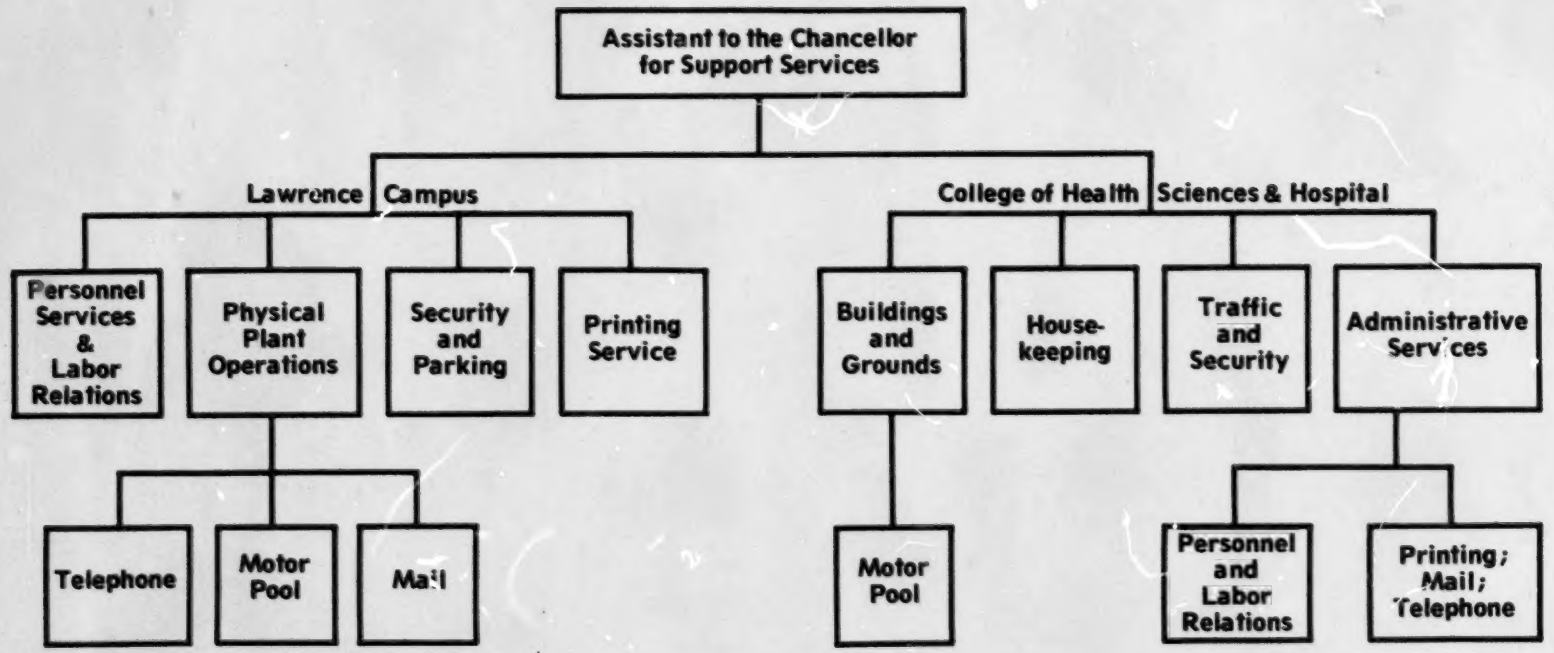
UNIVERSITY-WIDE



1/76

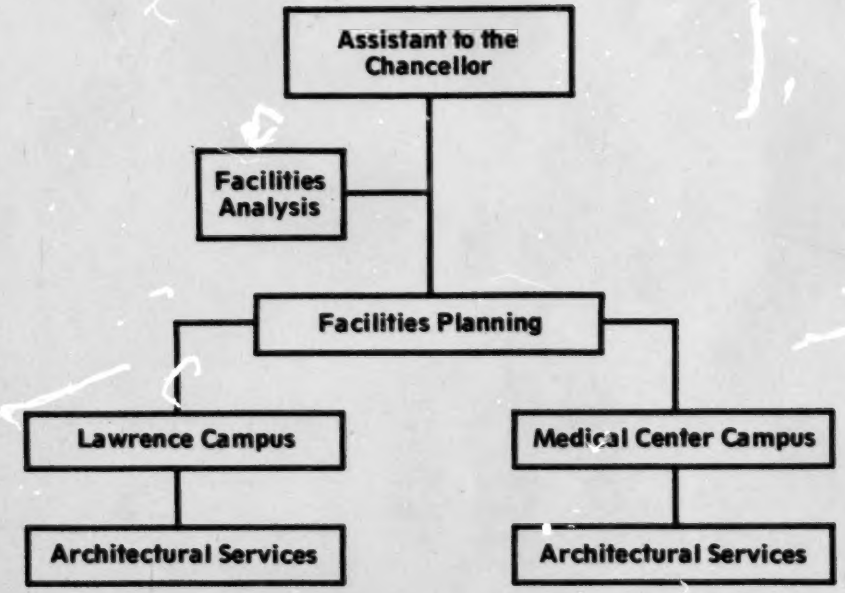
A.6.e

UNIVERSITY-WIDE



A.6.f

UNIVERSITY-WIDE



B. UNIVERSITY GOVERNMENT

1. Charter of the Governmental Bodies of the University
2. Governmental Organization
3. Governmental Organization Chart

B.1 CHARTER OF THE GOVERNMENTAL BODIES OF THE UNIVERSITY

The structure of faculty and student participation in University government is based upon the following charter, which was granted on March 20, 1969, by the Board of Regents:

WHEREAS, for many years there has been in operation a validly created Senate of the University of Kansas composed of members of the faculties and staff of the University and a validly created All Student Council composed of representatives of the student body of the University; and,

WHEREAS, it now seems desirable that the faculties, staff and students of the University form a coordinated governmental structure;

NOW, THEREFORE, the Board of Regents of the State of Kansas hereby (1) approves the UNIVERSITY OF KANSAS SENATE CODE duly adopted by the appropriate constituencies of the University and recommended to it by the Chancellor; (2) charters the various governmental bodies provided for in said Code as it may be amended from time to time with the approval of the Chancellor; and (3) decrees that this Charter supersedes the Charter of the Senate of the University of Kansas of March 21, 1908.

Printed copies of the Senate Code may be readily obtained at the Office of the Chancellor.

B.2 GOVERNMENTAL ORGANIZATION

The All-University Senate conjoins the members of the University Senates on the Lawrence and Medical Center campuses. Subject to and in accordance with the control of the Chancellor and the Board of Regents as prescribed by law, the All-University Senate is empowered to formulate regulations concerning such affairs as directly affect the entire University community (both Lawrence and Medical Center campuses). The presiding officer of the All-University Senate is the Chancellor or the Chancellor's designate. The Senate Code does not require regular meetings of the All-University Senate, and it assembles only when called by the Chancellor, by the University Senate on either campus, or by petition of at least one hundred members of the All-University Senate to the Executive Secretary of the University.

Medical Center Campus

The University Senate is composed of the Chancellor, the Executive Vice Chancellor for Health Affairs, and the members of the faculty and student senates. The University Senate is empowered to formulate rules and regulations for the control and governance of those affairs of the University that directly affect the College of Health Sciences and Hospital.

Lawrence Campus

The University Senate is a joint body combining the memberships of the faculty and student senates. The presiding officer of the University Council (described below) also serves as presiding officer of the University Senate. The University Senate meets regularly at least once in each semester of the academic year. An agenda is sent to all members before each regular meeting. Minutes of all meetings are distributed within 30 days after each meeting.

Subject to and in accordance with the authority granted to the Chancellor and the Board of Regents as provided by law, the University Senate is empowered to formulate rules and regulations for the control and governance of those University affairs that affect the entire community. These affairs include, but are not limited to, organization and administration, the framing and execution of long-range plans, decisions regarding existing or prospective resources, fiscal affairs, academic procedures and policies common to all schools, class and examination schedules, the University calendar, the libraries, financial aid to students, all-University activities and events, human relations, and the role of the University in public affairs.

The Faculty Senate consists of the Chancellor; the Executive Vice Chancellor of the Lawrence Campus; the vice chancellors and the senior deans; those members of the faculty and of the library staff who possess tenure; those non-tenured members of the faculty with full-time appointment to the rank of instructor, lecturer, teaching associate, or adjunct professor; members of the library staff of equivalent rank; unclassified academic staff in the several divisions of the University who possess the terminal degree appropriate to their academic discipline; the directors of divisions; the Executive Secretary of the University, the Dean of Admissions and Records, and the assistants to the Chancellor. Visiting faculty with an academic position equivalent to a full, associate, or assistant professorship may attend and participate in Faculty Senate meetings but are not entitled to vote. Members of the faculty who have retired to emeritus status may attend and participate in Faculty Senate meetings and are entitled to vote if they have annually requested the Secretary of the Faculty Senate to enroll them in the membership of the Faculty Senate. The Faculty Senate meets at least once each semester during each academic year. An agenda is sent to all members before a regular meeting and is made available at special meetings, and minutes are distributed within 30 days of a meeting. Within the controls provided by law, the Faculty Senate deals with such affairs as directly and primarily affect the faculty. These affairs include, but are not limited to, faculty rights, privileges, and responsibilities; research; scholarly publications; admission and transfer requirements; credit for resident and nonresident study; and cooperation with other institutions.

The Student Senate consists of the president and vice president of the student body; the presidents of the Association of University Residence Halls, the Pan-Hellenic Association, the Interfraternity Council and the All-Scholarship Hall Council; the special representatives to the University Council; and the representatives of the student body of each school in the University. The Vice Chancellor for Student Affairs, the Dean of Men, and the Dean of Women may attend and participate in Student Senate meetings but are not counted as members for the purpose of quorum determinations. The student body of a school is entitled to elect each year a number of representatives nearest to the total enrollment in the school divided by two hundred, but in no event less than two. The Student Senate is required to meet in the first week after spring break and at least three times more in each academic year.

Within the controls provided by law, the Student Senate deals with such affairs as directly and primarily affect the students of the University. These include, but are not limited to, student rights, privileges, and responsibilities; the non-academic conduct of students; student organizations and activities; student publications; and student housing and health.

The University Council consists of 39 members elected by and from the Faculty Senate; 12 members elected by and from the Student Senate; the Chancellor, the Executive Vice Chancellor of the Lawrence Campus, and the president of the student body serving ex officio. At all times it includes at least one member of the Faculty Senate from each school and from the libraries. The Council normally convenes once each month during the academic year; its meetings are closed to non-members of the University Senate except by consent of two-thirds of the Council members present and voting. The presiding officer of the University Council and an assistant presiding officer are elected by and from among the members of the Council by ballot at the Council's organizational meeting in April of each year. The presiding officer serves until the election of a successor the following year. When both the presiding officer and the assistant presiding officer are absent, the University Senate Executive Committee appoints

another member of the Council to preside. Minutes are distributed within 20 days of a meeting.

The University Council is empowered by the Senate Code to act in behalf of the University Senate, subject to limitations the Senate may impose. The Council may formulate and enact rules and regulations on behalf of the Senate. Such enactments are effective on the fourteenth calendar day following Council action unless a review by the University Senate is requested. A Senate review of Council decisions is required if requested by one-third of the members of the University Council present and voting or if requested by 50 members of the University Senate by petition to the University Senate Executive Committee.

The Faculty Council consists of the 39 members of the Faculty Senate who are members of the University Council, and the Chancellor and Executive Vice Chancellor, ex officio. It normally convenes in April and September. The presiding officer of the University Council, if a faculty member, serves as presiding officer of the Faculty Council and of the Faculty Senate. If the presiding officer of the University Council is a student and the assistant presiding officer is a faculty member, the latter serves also as presiding officer of the Faculty Council and of the Faculty Senate. The presiding officer serves until the election of a successor the following year. When the presiding officer is absent, the Faculty Executive Committee appoints another member of the council to preside. The Faculty Council acts in behalf of the Faculty Senate. The decisions of the Faculty Council are subject to review by the Faculty Senate under procedures parallel to those established for review of actions taken by the University Council in behalf of the University Senate.

The Executive Secretary of the University acts as secretary to the University Senate, the Faculty Senate, the University Council, and the Faculty Council.

Nine persons are annually elected to serve as members of the University Senate Executive Committee (SenEx) until election of their successors the following year. By ballot, at the University Council's organizational meeting in April, six are elected by and from among the Faculty Senate members of the Council. The three student members of SenEx are elected each spring by and from the members of the Student Senate.

Also at the Council's organizational meeting, the Senate Executive Committee elects from among its members, subject to the Council's approval, a faculty member as chairperson and a student member as vice-chairperson. SenEx appoints a secretary from the membership of the Faculty Senate. The secretary may be an elected member of SenEx. The chairperson of SenEx, in consultation with the Chancellor and the Executive Vice Chancellor of the Lawrence campus, prepares the agenda of the meetings of the University Council and regularly reports to the Council on the activities of SenEx. The functions of SenEx are, in brief, to ensure that all the functions of the University Senate and the University Council are carried out expeditiously and in conformity with the provisions of the code. It meets once a month, or more often.

The Faculty Executive Committee consists of the six members of the Faculty Senate elected to SenEx. The secretary of SenEx also acts as the secretary of the Faculty Executive Committee, but with no vote unless the secretary is also an elected member of FacEx. The Student Executive Committee is constituted in a slightly different fashion.

The University Senate has standing committees on the calendar, financial aid to students, foreign students, human relations, and libraries. There are also a few University Boards, the members of which are variously appointed by the Chancellor, SenEx and the Student Executive Committee. The Athletic Board includes six faculty members elected by mail ballot of the Faculty Senate. The Faculty Senate has standing committees on cooperation among institutions of higher learning; faculty rights, privileges, and responsibilities; research; tenure and related problems; and scholarly publications. Among the standing committees of the Student Senate there is one on student rights, privileges, and responsibilities. Other standing committees are appointed by the Chancellor, the Executive Vice Chancellor, or the appropriate vice chancellor.

Among the Chancellor's committees, two of major importance to the faculty are the University Committee on Promotion and Tenure and the University Committee on Sabbatical Leaves. Each is composed of nine members who are nominated for membership by the Faculty Executive Committee to the Chancellor for three-year, overlapping terms; in addition, one member of SenEx serves as ex officio member of each committee, and the Vice Chancellor for Research and Graduate Studies serves as ex officio member of both committees. The Vice Chancellor for Academic Affairs is ex officio chairperson of both committees and votes only in case of a tie.

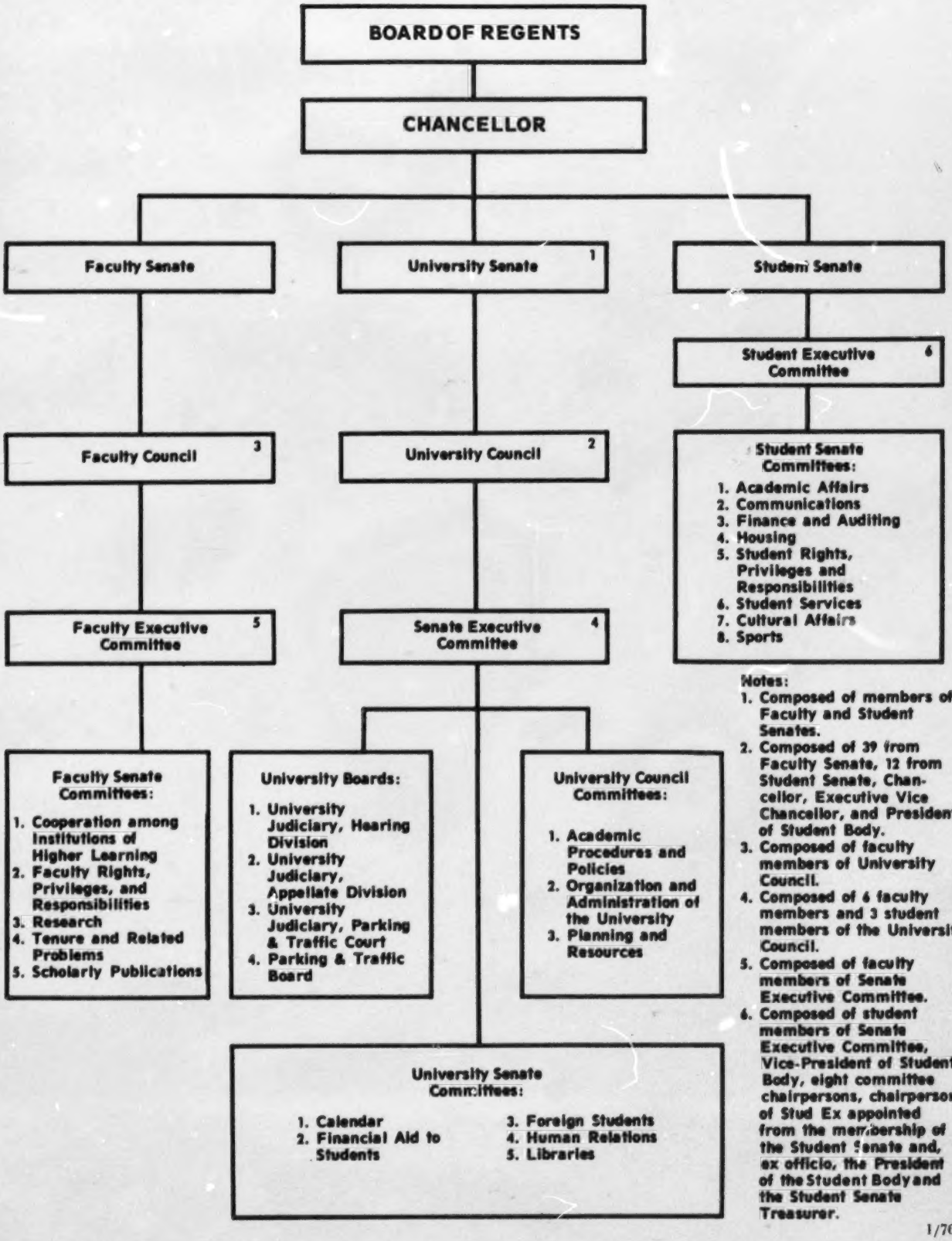
The rules contained in the most recent edition of Robert's Rules of Order Revised govern the Senate, the Councils, and their committees in all applicable cases not inconsistent with the Senate Code or the special rules of these bodies. A member of the Faculty Senate is annually appointed by the University Senate Executive Committee to serve as parliamentarian of the University and Faculty Senates and Councils.

University Senate regulations provide for student representation on all policy-making committees and at all full school or departmental meetings. Student representation is to be no less than 20 percent of faculty representation at the rank of instructor or above.

A list of all University committees on the Lawrence campus is published each fall.

B.3

UNIVERSITY OF KANSAS
GOVERNMENTAL ORGANIZATION



Notes:

1. Composed of members of Faculty and Student Senates.
2. Composed of 39 from Faculty Senate, 12 from Student Senate, Chancellor, Executive Vice Chancellor, and President of Student Body.
3. Composed of faculty members of University Council.
4. Composed of 6 faculty members and 3 student members of the University Council.
5. Composed of faculty members of Senate Executive Committee.
6. Composed of student members of Senate Executive Committee, Vice-President of Student Body, eight committee chairpersons, chairperson of Stud Ex appointed from the membership of the Student Senate and, ex officio, the President of the Student Body and the Student Senate Treasurer.

1/76

C. FACULTY APPOINTMENT POLICIES AND PROCEDURES

1. Basis of Appointment
2. Faculty Ranks
3. Special Professorships
4. Promotions
5. Tenure
6. Probationary Period
7. Notice of Non-Reappointment
8. Appeals
9. Faculty Annual Reports
10. Resignations
11. Retirement Eligibility

C.1 BASIS OF APPOINTMENT

The University of Kansas, as a member of the Association of American Universities, adheres scrupulously to the policy formulated by that group of universities that no offer of employment as a faculty member shall be extended to a faculty member at another AAU institution after May 1 unless it concerns the second academic year to come.

The majority of faculty appointments on the Lawrence campus are made for the academic year of approximately nine months. Some appointments are made for a twelve-month period coinciding with the fiscal year, which begins on July 1. Virtually all faculty appointments on the Medical Center campus are made for a twelve-month period, beginning on July 1.

Tenured appointments will be annually renewed unless the faculty member is dismissed through proper actions and procedures. A probationary appointment will be renewed unless timely notice is given. Term appointments will be renewed only if a new offer of appointment is made and accepted.

Individuals who have attained age 70 are not normally appointed or reappointed to the faculty. (See Employment or Continuation of Employment after Age 70.)

C.2 FACULTY RANKS

The principal titles granted by the University to academic faculty are those normally bestowed by institutions of higher education: *professor, associate professor, assistant professor,* and *instructor.* The title *lecturer* is sometimes given to those performing usual classroom duties but who are employed at a less-than-full-time rate or for a short term by the University. The title *acting assistant professor* is sometimes given to academic employees who are expected to receive a terminal degree soon after joining the faculty. If the degree is not completed before the beginning of the second year, the title will be changed to instructor. For those individuals who join the faculty of the University for a short period of time with the intent of returning to a position at another academic institution, the prefix "visiting" will be added to the title.

Two other prefixes may be employed in conjunction with the basic academic titles. These titles are "adjunct" for those contributing to the University's instructional efforts without remuneration from the University and "courtesy" for those who serve the particular academic unit without remuneration but who are otherwise employed by the University. Both of these titles are approved for no more than one academic year at a time. A request for reappointment each year, if justified, must be initiated by the appropriate chairperson and/or dean before action by the Vice Chancellor. These appointments normally carry no salary and do not count toward academic tenure.

In addition to the titles described above, the College of Health Sciences uses the title of *teaching associate* for faculty who do not hold terminal degrees and for appointees whose primary duties are non-academic. These appointments are renewed annually and do not lead to tenure.

C.3 SPECIAL PROFESSORSHIPS

The University has special professorships which it bestows upon faculty members particularly distinguished in their respective fields. Appointments to these positions are made by the respective executive vice chancellor upon the recommendation of an advisory committee and with the approval of the Chancellor. Nominations for distinguished professorships normally originate in the department or school concerned. The special professorships include Regents Professorships, funded in part from special appropriations made by the Legislature to the Board of Regents; Endowed Professorships, each funded in part by a donor, or donors, and usually identified by the name of the donor or of a person the donor wished to honor; and University Professorships, funded entirely by the University.

C.4 PROMOTIONS

Promotion to assistant professor, associate professor, or professor is made on the basis of meritorious performance. The performance areas considered are teaching, research, and service. The University at all times seeks to attract, retain, and reward the faculty member who consistently performs effectively as a teacher-scholar or a teacher-artist. *Research* is understood to include critical evaluation and artistic creation and performance, as well as the discovery and interpretation of facts. In addition, the University seeks to recognize *service* which faculty members may contribute to the University, the community, the state, or the nation. Academic promotion is an important means of acknowledging such performance and such service. It is awarded for achievement, not for mere length of service or as an incentive to greater effort.

Lawrence Campus

Recommendations for promotion are made by the University Committee on Promotions and Tenure to the Executive Vice Chancellor for consideration and forwarding to the Chancellor. This committee is composed of nine members who are nominated for membership by the Faculty Executive Committee to the Chancellor for three-year, overlapping terms; in addition one member of SenEx and the Vice Chancellor for Research and Graduate Studies serve as ex officio members. The Vice Chancellor for Academic Affairs is ex officio chairperson and votes only in case of a tie.

Nominations for promotion normally originate with the department, or with the school if the school does not have departmental organization. Procedures for recommendations for promotion, award of tenure, and notice of non-reappointment are detailed in the Rules and Regulations of the Faculty Senate, Art. VI. (See Appendix.)

Medical Center Campus

Recommendations for promotion are made to the Executive Vice Chancellor by the Faculty Promotions and Tenure Committee for consideration and forwarding to the Chancellor. Four members of this committee are elected by the faculty, and three are appointed by the Vice Chancellor for Faculties and Academic Affairs who serves as chairperson.

Procedures for recommendations for promotion, award of tenure, and notice of non-reappointment are detailed in guidelines which are distributed to each faculty member early in the academic year by the Office of the Vice Chancellor for Faculties and Academic Affairs.

C.5 TENURE

The tenure regulations approved by the Board of Regents in

1947 follow the 1940 Statement of the American Association of University Professors:

A. After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their services should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies.

B. In the interpretation of the principles contained in Section A of this resolution, the following is approved by the Board:

1. **The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.**
2. **Beginning with appointment to the rank of full-time instructor or a higher rank, the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution it may be agreed in writing that his new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years. Notices should be given at least one year prior to the expiration of the probationary period, if the teacher is not to be continued in service after the expiration of that period. (Editorial note: The last sentence has been modified by the Regents' later acceptance of the AAUP's Standards for Notice of Non-Reappointment.)**
3. **During the probationary period a teacher should have the academic freedom that all other members of the faculty have.**
4. **Termination for cause of a continuous appointment or the dismissal for cause of a teacher previous to the expiration of a term appointment, should, if possible, be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges against him and should have the opportunity to be heard in his own defense by all bodies that pass judgment upon his case. He should be permitted to have with him an adviser of his own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teachers and other scholars, either from his own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution.**
5. **Termination of a continuous appointment because of financial exigency should be demonstrably bona fide.**

To the main statement, quoted from the 1940 Statement, the Regents appended one sentence:

C. Within this general policy, each school may make such operating regulations as it deems necessary subject to the approval of the Board of Regents.

With such approval of the Regents, the University adopted several local tenure rules, all of which have since been abolished. Appointments to the faculty made prior to October 1971 are subject to these local rules as stated in the 1970-71 *Faculty Handbook*. Procedures and policies on tenure for the Lawrence campus are set forth in the Rules and Regulations of the Faculty Senate Art. VI, Sec. 2. (See Appendix.)

Part-time service to the University in teaching, research, and administration does not count toward tenure.

C.6 PROBATIONARY PERIOD

In its approach to the probationary period and to the award of continuous tenure, the University seeks to adhere to the policies enunciated by the AAUP. The national office of the organization, in its Advisory Letter No. 13 (*AAUP Bulletin*, Spring 1964) thus explained its understanding of the probationary period:

. . . The beginning faculty member is serving a kind of internship or clerkship, and . . . he may not always be the best judge of his own effectiveness. An occasional word of caution, advice, or encouragement from experienced colleagues can therefore be very salutary. If the time comes that the department, division, and administration conclude that his connection with the institution should be severed, we would say that responsible officials of the institution should feel completely free to explain to him the basis of their decision. We could not agree, however, that if reasons are given for the non-reappointment the institution assumes a burden of demonstrating the validity of its reasons. To be sure, the faculty member may question whatever reasons are given him. But unlike the tenured teacher, he does not as a probationer have what can be considered a claim to his position, and it would thus seem unreasonable to compel the institution to account for this exercise of its prerogative, much less to carry the burden of justifying its decision.

These remarks are made, I am sure you understand, on the assumption that the faculty member has had an appropriate evaluation by his colleagues and that he is not being given notice for reasons which violate his academic freedom. . . . I think I must say further that our purpose is to permit the institution, within the limits of academic freedom, the utmost latitude in determining who will be retained for tenure appointments. Because the granting of tenure is tantamount to a lifetime commitment, we feel that the institution should be left without a reasonable doubt as to the faculty member's qualifications for tenure before it reaches a favorable decision.

C.7 NOTICE OF NON-REAPPOINTMENT

Prior to the time that a faculty member attains continuous tenure, termination may be effected by administrative action, provided timely notice is given. The AAUP's 1964 Standards for Notice of Non-Reappointment have been adopted by the Regents. A notice of non-reappointment will be sent by the Vice Chancellor for Academic Affairs on the Lawrence campus or the Vice Chancellor for Faculties and Academic Affairs on the Medical Center campus:

(a) Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.

(b) Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.

(c) At least 12 months before the expiration of an appointment after two or more years in the institution.

Procedures for notice of non-reappointment for the Lawrence campus are set forth in the Rules and Regulations of the Faculty Senate, Art. VI, Sec. 3. (See Appendix.)

C.8 APPEALS

Lawrence Campus

The Faculty Senate Committee on Tenure and Related Problems functions as a hearing board in cases alleging violations of academic freedom, tenure rights, and failures to observe established procedures in promotions or non-reappointment. (See Appendix, Rules and Regulations of the Faculty Senate, Art. VI, Sec. 4.) Faculty members who feel that their rights have been violated in any of these areas may file charges in accordance with the *Procedures for Cases Involving Academic Freedom and Tenure*. (See Appendix III.)

Medical Center Campus

On the Medical Center campus, alleged violations of academic freedom, tenure rights, and failures to observe established procedures in promotion or non-reappointment are referred to the Office of the Vice Chancellor for Faculties and Academic Affairs. An *ad hoc* committee of senior faculty members is appointed to hear the charges and make recommendations to the Vice Chancellor for Faculties and Academic Affairs. Guidelines for the conduct of such hearings are available by request from the Office of the Vice Chancellor for Faculties and Academic Affairs.

C.9 FACULTY ANNUAL REPORT

Each member of the faculty on the Lawrence campus is asked to complete a Faculty Annual Report at the close of each year's activities. This report is reviewed by the chairperson, dean and the Vice Chancellor for Academic Affairs. A copy is filed for later use in the consideration of recommendations for promotion and tenure and in reporting the publications of the University faculty.

C.10 RESIGNATIONS

The University of Kansas shares the views expressed in the Statement on Recruitment and Resignation of Faculty Members endorsed by the American Association of University Professors in April, 1961. This statement includes the following sections on resignations:

Mobility of faculty members among colleges and universities is rightly recognized as desirable in American higher education. Yet the departure of a faculty member always requires changes within his institution, and may entail major adjustments on the part of his colleagues, the administration, and students in his field. Ordinarily a temporary or permanent successor must be found and appointed to either his position or the position of a colleague who is promoted to replace him.

. . . .

. . . It is desirable that, when feasible, the faculty member who has been approached with regard to another position inform the appropriate officers of his institution when such negotiations are in progress. The conclusion of a binding agreement for the faculty member to accept an appointment elsewhere should be followed by prompt notice to his institution.

. . . .

. . . Except by agreement with his institution, a faculty member should not leave or be solicited to leave his position during an academic year for which he holds an appointment.

Resignations from the faculty should always be submitted in writing to the department chairperson (or, where no departmental organization exists, the dean of the school). Such letters will be forwarded through the dean of the school to the Vice Chancellor for Academic Affairs, who will acknowledge the resignation on behalf of the University. For purposes of the orderly transaction of business, a resignation should normally identify the faculty member's future location.

Unless an earlier date is specified, the effective date of a faculty member's resignation shall be the termination date of the faculty member's appointment current as of the date of submission of the resignation. If a resigning faculty member holds research grants or contracts from outside agencies, the Office of Research Administration on the Lawrence campus or the Research Office on the Medical Center campus should be consulted in order that proper arrangements may be made for the liquidation or transfer of the grant and the disposition of any equipment secured under the grant or contract.

C.11 RETIREMENT ELIGIBILITY

State law provides for mandatory retirement at the age of 70. Retirement for faculty members teaching for academic credit becomes effective no later than the August 15 on which the faculty member is 70 years of age. Other members of the staff will retire no later than the first of the month following the attainment of age 70. A faculty member may request retirement at any time after age 65 (see Retirement Plans). Administrative duties must be relinquished at the end of the fiscal year in which the person reaches age 65. In unusual circumstances, and upon recommendation of the appropriate Vice Chancellor, the Chancellor may grant written authorization for the extension of an administrative appointment. If qualified to teach, the faculty member may continue in a teaching capacity to age 70, or likewise in a staff position not involving administrative responsibility.

D. APPOINTMENT TERMS AND BENEFITS

1. Salary Payments
2. Employee's Oath
3. Proof of Date of Birth
4. Payroll Deductions
5. Summer Session Appointments
6. Continuing Education Service
7. The "Eleven-Month Rule"
8. Conversion of Term of Appointment
9. Compensation in Excess of Full-Time Salary
10. Reimbursement for the Expenses of Administrative Travel
11. Faculty Travel to Meetings of Learned Societies
12. Group Health and Hospitalization Insurance
13. Retirement Plans
14. Group Life and Salary Continuation Insurance
15. Workmen's Compensation
16. Unemployment Compensation
17. Retired Teachers and Employees Benefits
18. Employment of Relatives
19. Identification Cards
20. Faculty and Staff Enrollment
21. Employment or Continuation of Employment after Age 70
22. Employment after Retirement
23. Research Work by Emeritus Staff

D.1 SALARY PAYMENTS

Lawrence Campus

Members of the faculty on the Lawrence campus are normally paid on a monthly basis. However, because the academic year begins and ends in mid-month, payments for one-half of a month's salary are made on or shortly after September 1 and June 1 to faculty members on nine-month appointments.

Persons holding appointments for nine months may elect to receive their salary in twelve monthly installments. This option may be requested in writing at any time prior to the beginning of the academic year.

If a person is appointed for one semester only, he or she will receive one-half of the salary established for a nine-month period. This amount will be paid over the appropriate four-and-one-half-month period unless the faculty member has held an academic year appointment at the University the previous year and has elected the twelve installment pay plan. In that case, payment will be made over the appropriate six-month period unless payment authorization is changed.

Persons holding twelve-month appointments are also paid on a monthly basis. However, they are on a pay period involving a two-week delay in payment (e.g., payment for August 18 through September 17 is made on or shortly after October 1). Thus, a person appointed on July 1 will receive payment for July 1 through July 17 on August 1.

Arrangements can be made with the Payroll Office for the direct deposit of payroll warrants to the individual's bank account. In the absence of other instructions, pay checks will be mailed to the appropriate department. Pay checks are currently distributed on the first business day of each month.

Medical Center Campus

On the Medical Center campus, faculty and other unclassified staff receive salary checks bimonthly, on the first and sixteenth of each month. These checks are distributed by the Payroll Office to authorized departmental representatives who in turn distribute the checks to the individual faculty members and other unclassified personnel within the department.

D.2 EMPLOYEE'S OATH

In order to be eligible to receive pay from the State of Kansas, anyone employed by the state must execute before a notary the following oath of office:

> "I do solemnly swear (or affirm) that I will support the Constitution of the United States and the Constitution of the State of Kansas, and faithfully discharge the duties of my office or employment. So help me God." (The final sentence may be deleted.)

State law requires that this oath must be on file before any checks in payment of salary or wages may be issued by the State Treasurer. To facilitate the execution of the oath, notaries are available in the Payroll Office and in other major University offices in Lawrence and in the administrative offices of the Medical Center.

D.3 PROOF OF DATE OF BIRTH

At the time a person is appointed to the payroll, or within 60 days thereafter, documentary proof of date of birth should be provided to the Payroll Office. The State of Kansas requires that proof of date of birth be provided, and this requirement is related to eligibility standards under the retirement systems. Furthermore, all name changes must be documented.

D.4 PAYROLL DEDUCTIONS

The Payroll Office will arrange for automatic deductions for Social Security, state and federal income taxes, retirement, and group hospitalization. Federal law requires that Social Security deductions be made from the pay checks of all employees, full-time or part-time, except students during the time they are actually enrolled (spring semester, fall semester, or summer session). Deductions for the retirement system are made for all persons covered by the system under the provisions of state law. (See Retirement Plans.) Deductions for the group hospitalization program are made for all persons who are eligible and who have indicated their desire to participate in this program. A group life insurance program is available to all University faculty members. (See Group Life and Salary Continuation Insurance.) No payroll deductions are made for this program; participants in the program are supplied with payment cards by the Teachers and Employees Association and with instructions as to how monthly payments should be made.

D.5 SUMMER SESSION APPOINTMENTS

Lawrence Campus

The University offers a reduced program of courses in summer session. Assignment to summer session teaching is a matter of departmental or school policy. Payment for summer teaching is at the monthly rate applicable to the preceding academic year.

D.6 CONTINUING EDUCATION SERVICE

Lawrence Campus

The University extends its resources throughout the state through the Division of Continuing Education. Off-campus credit courses are taught by regular faculty members as part of their load, and regular credit is awarded. Exceptions must be approved by the academic dean and the Vice Chancellor for Academic Affairs. Off-campus credit and noncredit courses and conferences are cleared through the Division and from there through the Extension Office of the Board of Regents prior to public announcement. Additional compensation may be earned for work on behalf

of Independent (correspondence) Study and noncredit programs in accordance with Board of Regents ruling.

D.7 THE "ELEVEN-MONTH RULE"

Lawrence Campus

A faculty or staff member on a nine-month academic year appointment may be additionally appointed to University positions during the remainder of the fiscal year. If such additional appointment is funded from non-state sources (e.g., sponsored research, training or institute grants or contracts), the additional appointment may be for as much as three months of bona-fide full-time service. If such additional appointment is funded from state sources (e.g., regular or summer session teaching budgets, or General Research Fund), University policy limits the additional appointment to two months in any fiscal year.

D.8 CONVERSION OF TERM OF APPOINTMENT

Lawrence Campus

Faculty appointments are normally made for the academic year (a nine-month term). There are, however, some appointments, usually involving administrative responsibilities, made for the fiscal year (a twelve-month term). In keeping with University policy that no more than eleven months salary for a faculty member can be supported by state funds, the conversion of a nine-month appointment to twelve months is accompanied by the addition of two-ninths to the base salary and a conversion from twelve months back to nine months by the subtraction of two-elevenths of the base salary. Either conversion will necessitate a change in pay period (see Salary Payments).

D.9 COMPENSATION IN EXCESS OF FULL-TIME SALARY

The University has no authority to pay compensation in excess of full-time salary except in specific cases approved in advance by the Board of Regents. The Board has given blanket approval for extra compensation payments for teaching certain continuing education courses, preparing courses and grading papers for correspondence study and reading manuscripts for the Regents' Press of Kansas. All other cases require specific prior approval from the Board of Regents. Such cases include compensation for services rendered to other agencies of the State of Kansas, compensation from any source external to the University but paid through the Comptroller's Office, and compensation for serving as consultants to other departments, schools, or divisions of the University. Faculty and staff members should consult the appropriate vice chancellor through the chairperson and/or dean or director before any such arrangements are concluded. The Office of Research Administration on the Lawrence campus or the Research Office on the Medical Center campus will not approve any proposal for submission to external agencies for funding of compensation in excess of full-time salary until proper clearance has been obtained.

D.10 REIMBURSEMENT FOR THE EXPENSES OF ADMINISTRATIVE TRAVEL

University faculty and staff members may be reimbursed for official travel authorized in accord with the following guidelines. Out-of-state travel for which the staff member is to receive reimbursement must be authorized by the appropriate vice chancellor. A request for authorization must be submitted in duplicate on the appropriate form (endorsed by the dean, director, or project director) at least three weeks in advance of the date of departure. Reimbursment for travel within Kansas may be authorized by the chairperson, dean, or director, if the budgetary unit has funds budgeted for the purpose. Detailed information for obtaining reimbursement is available in the *Business Procedures Guide* in each departmental office. This publication should be consulted well in advance of any planned travel. It contains information on the limitations of reimbursement, receipts, and application forms. The limitations imposed by state law are rigid and complex.

D.11 FACULTY TRAVEL TO MEETINGS OF LEARNED SOCIETIES

Lawrence Campus

The Graduate School has funds to be used for paying the transportation costs of some members of the Graduate Faculty to attend the regional or national meetings of their professional societies. Regrettably, these funds are limited, and, therefore, per diem expenses cannot be allowed.

For travel support to attend regional and national meetings, faculty members should apply on standard forms to the Vice Chancellor for Research and Graduate Studies for a travel grant. Applications must be filed according to the following schedule. For travel during the months listed in the left column, a request must be submitted before the corresponding dates in the right column:

July, August, September	June 8
October, November, December	September 8
January, February, March	December 8
April, May, June	March 8

Priority for travel grants will be given, first, to faculty members who will present papers at national meetings of learned or professional organizations; second, to those who will present papers at regional meetings of learned or professional organizations; then follow in order of decreasing priority requests for participation as president of a national organization, symposium chairperson, session chairperson, panelist or discussant. Normally no more than one travel grant can be awarded to a single individual in a given year.

Through the generosity of the Endowment Association, additional funds are sometimes provided to permit the program of scholarly travel support to be extended to members of the faculties of the Schools of Law and of Social Welfare as well as the Graduate Faculty at Lawrence.

Requests for support of *international* travel should be addressed to the Vice Chancellor for Academic Affairs, with the endorsement of the appropriate chairperson and dean. Funds for this purpose are made available through the generosity of the K.U. Endowment Association. As a rule, no more than two-thirds of air fare can be allowed, subject, of course, to the availability of funds. To allow for wider distribution of these funds, general policy is to make no more than one award to any one individual in any three-year period.

Medical Center Campus

On the Medical Center campus, prior written request for out-of-state travel must be submitted to the department chairperson using the *Request for Out of State Travel* form. If approved by the departmental chairperson, the request is sent on to the appropriate central administration officers for approval. Such requests should be initiated at the earliest date possible, but in no case later than four weeks prior to the date of departure for the requested travel. Upon return, the faculty member should complete the *Travel Voucher for Expenses* form with the departmental chairperson's office for reimbursement of actual expenses. Copies of these forms and specific departmental policy regarding their use and processing is available in each departmental office.

D.12 GROUP HEALTH AND HOSPITALIZATION INSURANCE

The State of Kansas has a group health insurance plan available to University of Kansas faculty and staff who are eligible and elect to participate. Employees are eligible to participate if the

position held is not seasonal or temporary and if 1,000 hours of work or more are required per year. (This plan does not include student employees. A separate program is offered to all students.)

Under one plan the state pays the entire cost for the employee. For the other plans, the state pays a portion of the cost, and the employee pays the balance. Participation in the group health insurance plan is optional. If membership is desired, application must be made when the appointment is entered on the payroll. Application at the time of initial appointment avoids the waiting period imposed on later applicants. Participation can be obtained at any time during active employment; however, on later enrollments a 240-day waiting period is imposed in regard to pre-existing conditions.

The family plan provides coverage for spouse and all unmarried children under the age of 19 or, if full-time students, under the age of 23. Coverage may be continued beyond the limiting age for unmarried dependent children who are physically or mentally incapable of self-support. (Special application forms are available in the Office of Staff Benefits on the Lawrence campus and the Benefits Section of the Personnel Relations Department on the Medical Center campus.) Payment for the plan selected is made by monthly payroll deductions.

To retain coverage during a temporary leave, the enrolled member must arrange with the respective benefits office to pay the full cost of the insurance premium. For faculty members with basic nine-month appointments who are not on the payroll during the summer months, the state will pay part or all of the premium for the employee, but the faculty member must make arrangements with the respective benefits office to pay the premium for dependent coverage and, if appropriate, the remainder of the premium for employee coverage.

In cases of disability and retirement, group coverage may be continued after active employment has ceased. In these cases the insured must pay the full amount of the group premium.

Effective July 1, 1975, the spouse of a deceased state employee or retiree may continue group coverage provided the spouse was covered immediately prior to the death of the employee or the retiree and the spouse pays the full amount of the group premium.

Additional information may be obtained from the Office of Faculty and Staff Benefits on the Lawrence campus or the Benefits Section of the Personnel Relations Department on the Medical Center campus.

D.13 RETIREMENT PLANS

The University of Kansas maintains a contributory, funded retirement program for faculty members with the Teachers Insurance and Annuity Association (TIAA). By state law, those covered by the plan are the permanent members of the faculty employed one-half time or more "who are principally employed and engaged as teachers or who have, as their principal duty, academic supervision over such teachers." Pensions from TIAA are available on the first day of any month after a faculty member discontinues employment in a position covered by TIAA. Normally this is after attainment of age 70, but the faculty member has the option of electing an earlier date.

Unless a new faculty member holds a valid TIAA annuity contract at the time of initial appointment, there is a two-year waiting period before the faculty member may enroll in the program. Currently enrolled TIAA members who meet eligibility requirements may participate immediately upon furnishing their contract numbers, their desired allocation between TIAA and CREF, and a signed salary reduction/deduction agreement to the respective benefits office. After 35 years of participating service in the TIAA, a faculty member's benefits are expected to approximate 50 percent of final salary. These benefits are paid in addition to any Social Security payments for which the individual is eligible.

For those members who are eligible, participation is compulsory. The member's contribution is 5 percent of gross earnings and is accomplished by deduction from the payroll check. The University matches this 5 percent and contributes sufficient additional funds to cover employer liability under the act and the group life insurance and the group long-term disability insurance program for all members under age 65. The amount of death benefit is 65 percent of the member's annual rate of compensation. The long-term disability benefit shall not exceed one-half (½) times the member's annual rate of compensation. The annual rate of compensation is the member's compensation received or due for the twelve-month period immediately preceding the month in which death or disability occurred. Deductions are taken from the entire twelve-month University earnings, including those for summer teaching or summer research for faculty members on nine-month appointments. The so-called "tax deferred" provision in the Federal Technical Amendments Act of 1958, sections 403(b) and 501(c)(3), is available to all eligible members who elect to participate; the agreements are irrevocable for one year. Effective September 1, 1973, a voluntary tax-sheltered program was established separate from and in addition to the required 5 percent dedicated to TIAA-CREF.

Under TIAA, a faculty member has the option of investing up to 100 percent of the total annuity premium in the College Retirement Equities Fund (CREF). The portion invested in TIAA provides a fixed-dollar annuity; the portion placed in CREF provides a variable annuity based primarily on the performance of common stocks. An individual annuity contract is written for each faculty member and it is "fully vested," that is, the policyholder owns the annuity.

A faculty member credited with six months or more of service before January 1, 1962, is eligible for "prior service benefits" under the Kansas Public Employees Retirement Act. This benefit now amounts to 1 percent of the individual's maximum annual salary during any one of the three years immediately preceding January 1, 1962, multiplied by the number of months of prior service divided by twelve. The benefit is covered by the Kansas Public Employees Retirement system. A faculty member who has creditable prior service and who accumulates a minimum of ten years of service, counting both prior and participating service, is also covered by the vested benefit provision of the general retirement system for state employees (KPERS), even though the faculty member may have made no contributions to KPERS. This means that any such faculty member who has qualified for a vested benefit may, upon reaching retirement age, apply for and receive a retirement benefit from KPERS, based upon prior service credit, in addition to any benefits available through TIAA or any other retirement system.

All University employees who are not primarily engaged as teachers participate in the Kansas Public Employees Retirement System (KPERS). These employees become eligible for membership after one year of continuous service in a permanent position at one-half time or more. For those eligible, participation is compulsory, and premium payments are by deduction from the payroll check. Under this system, members contribute 4 percent of their gross earnings, and the University matches this and contributes sufficient additional funds to cover employer liability under the act and the group insurance programs. Any employee who has attained age 59 at the time of initial employment may not become a member of the system.

In addition to retirement benefits, KPERS provides group life insurance for all members actively employed under the age of 65 and a long-term insured disability benefit if a member is disabled.

A member of KPERS may request retirement at any time after age 60.

D.14 GROUP LIFE AND SALARY CONTINUATION INSURANCE

The Teachers and Employees Association of the University offers to faculty members a group insurance package that provides decreasing term, level premium life insurance and salary con-

tinuation insurance at 50 percent of the member's normal monthly compensation after a qualifying period of six months of total disability. Although not provided by the state, this insurance is true group insurance subject to dividends for favorable experience. If a faculty member joins the Association within 30 days of assuming duties at the University, no medical examination to provide evidence of insurability is required.

Further information about the group insurance is available from the Comptroller's Office in Lawrence.

D.15 WORKMEN'S COMPENSATION (See also Sick Leave)

All state employees, whether classified. classified exempt, unclassified or employed students, are covered under the Workmen's Compensation Act. The carrier for State of Kansas employees is the Self-Insurance Fund for Workmen's Compensation.

Any employee injured by an accident arising out of and in the course of employment may receive compensation for the injury, provided the injury is not caused by misconduct. The act also covers illnesses arising out of, and in the course of employment. Prompt reporting by the department to the appropriate benefits office is required for all on-the-job accidents and apparent occupational illnesses. A reportable injury is one which causes the injured to lose work time, and/or requires either first aid or medical attention.

The act provides two types of compensation: compensation for lost earnings and compensation for medical costs. Compensation for loss of time is due if the employee is disabled for a minimum of seven (7) days, starting the day after the accident, and is prevented from earning full wages at the work in which employed. Compensation for lost time is not payable for the first week unless the injured employee is off for three consecutive weeks. Compensation then includes payment for the first week.

Lost time compensation is paid at the rate of 66⅔ percent of gross average weekly wage, and it is payable at this weekly rate as long as the disability exists, subject to an overall maximum of $50,000 on any one accident.

Regardless of time lost from work, medical expenses arising out of an on-the-job injury will be paid. The Self-Insurance Fund for Workmen's Compensation will directly reimburse the medical supplier for charges for services rendered to the injured employee.

D.16 UNEMPLOYMENT COMPENSATION

Employees of the University came under the Kansas Unemployment Compensation Act in January 1972. This act was designed to provide a program of insurance on a short-term basis for the payment of benefits to workers of Kansas who through no fault of their own have been temporarily restricted from gainful employment.

Faculty and staff are covered by the act. Students who are enrolled in courses and who are excluded from Social Security coverage, as well as nonresident aliens who are on F-1 or J-1 visas performing services for which they were allowed to enter the United States, are excluded. Nine-month faculty members are not eligible for unemployment compensation during the summer months. The eligibility or disqualification of each faculty or staff member who separates from University employment will be determined by the reason for separation. A claimant must initiate the claim at the nearest Employment Security Division office.

D.17 RETIRED TEACHERS AND EMPLOYEES BENEFITS

Retired members may continue to participate in the group hospitalization program and in the group life insurance program.

Under the will of the late Miss Elizabeth Sprague, a long-time member of the faculty, the Endowment Association constructed in 1960 the Sprague Apartments. Here six two-bedroom and three one-bedroom units are available at a modest monthly rental to retired faculty and staff members who have given 20 years or more of service to the University.

Information upon matters pertaining to retirement benefits is available at any time from the Office of Staff Benefits on the Lawrence campus and from the Benefits Section of the Personnel Relations Department on the Medical Center campus. Persons approaching retirement are, as a matter of recurring practice, invited by these offices for individual review of their situations.

Certain courtesy benefits are extended by the University Theatre, School of Fine Arts, Athletic Corporation, University Libraries, and Parking Service. Information on specific programs is available on request from these departments.

D.18 EMPLOYMENT OF RELATIVES

The Board of Regents has ruled that a qualified person may be employed in a position, classified or unclassified, without regard to family relationships to other employees of the University, so long as this employment does not involve direct supervision of or by a relative.

D.19 IDENTIFICATION CARDS

Lawrence Campus

Identification cards are issued to faculty and staff members upon application to Central Personnel Services. One of the primary uses of the plastic card is as a library check out authorization. It also serves as identification for certain services and events on campus. Since the card is not dated, a current notice of appointment may occasionally be requested. The faculty or staff member must pay the cost of the photograph made by Photographic Services and placed on the identification card.

Medical Center Campus

Plastic identification cards are provided to each new employee immediately following the commencement of work. These cards are commonly distributed through the departmental offices. The card may be used both within and outside of the Medical Center to identify the individual as a KUMC employee.

D.20 FACULTY AND STAFF ENROLLMENT

A full-time faculty or staff member may enroll in classwork. Fees are assessed at a special hourly rate. No charge is made for campus privileges, and therefore no campus privileges are available on the basis of such enrollment. To take advantage of the special rate, the faculty or staff member should secure a "Staff Fee Eligibility Certificate." The certificate must be signed by the department chairperson and turned in with other registration materials at enrollment.

The Graduate Council, from traditional concerns of conflict of interest, has established the following rule:

Members of the University of Kansas faculty holding any rank above that of Instructor will not be granted a degree from the University of Kansas.

(Executive Committee Minutes, p. 2971)

Exceptions to this rule may be granted by the Vice Chancellor for Research and Graduate Studies in circumstances where conflict of interest is deemed not present.

D.21 EMPLOYMENT OR CONTINUATION OF EMPLOYMENT AFTER AGE 70

State statutes (K.S.A. 75-2962) provide that no person who has attained age 70 may be employed or appointed to any office or position, other than an elective office or position, with the State of Kansas or any agency or instrumentality of the state.

State statutes also provide a procedure for making exceptions

to this general rule. In the event the University desires to employ a person who has attained or will attain age 70 during the term of an appointment or to continue in employment a person who has reached the time for mandatory retirement, the University (through Central Personnel Services on the Lawrence campus or the Personnel Relations Department on the Medical Center campus) must make application to the State Civil Service Board through the Personnel Division of the Department of Administration requesting that such person be appointed or continued in employment and showing that such person is mentally and physically capable of carrying out assigned duties and that the best interests of the public will be served by such employment or continuation of employment. The application must be submitted to the State Civil Service Board allowing sufficient time for the Board to reach and file a decision 30 days prior to the effective date of the proposed appointment. Consequently, the application must be filed with Central Personnel Services on the Lawrence campus or the Personnel Relations Department on the Medical Center campus well in advance of the effective date of the appointment.

The approval to continue a person in employment beyond age 70 is subject to annual review by the Civil Service Board.

D.22 EMPLOYMENT AFTER RETIREMENT

A retired faculty member may be reemployed by the University for no longer than 90 days in any one calendar year if paid from state-appropriated funds. If the retired faculty member is receiving monthly retirement benefits from the Kansas Public Employees Retirement System (KPERS), there are further restrictions on employment after retirement. If the faculty member is employed on a monthly basis, three months will be considered 90 days. If the faculty member is employed on an hourly or daily basis, the 90-day provision is 90 working days. If the faculty member is employed for any part of a working day, it will be considered as one full day. No retirement contributions can be deducted from the compensation earned. There is no restriction on the amount the faculty member may earn during the 90-day period. However, if the faculty member earns more than $2,500.00 in a calendar year, Social Security benefits will be decreased.

A retired faculty member may apply through the Office of Research Administration on the Lawrence campus or the Research Office on the Medical Center campus for an externally supported research grant or contract. As a part of the agreement, salary may be requested for the retired faculty member, providing that the individual is not receiving retirement benefits from the Kansas Public Employees Retirement System. The level of salary will be arranged with the Office of Research Administration on the Lawrence campus or the Research Office on the Medical Center campus but will not exceed the level last paid to the faculty member as a regular employee at the full-time equivalent rate. Any exceptions to this policy must be approved by the Chancellor.

D.23 RESEARCH WORK BY EMERITUS STAFF

The University considers retirement from active service as terminating all teaching duties, both on the undergraduate and graduate levels. However, it encourages professors emeriti to continue their research activities, and supplies them with the needed facilities if these are not required by students or other staff members of the department for their teaching and research; and it aids them, through the Office of Research Administration, to obtain sponsored research grants and to carry out these programs.

Should a retired professor's research work call for the assistance of graduate students, such students may be appointed to work with that professor, provided that the department and the Graduate Council feel the professor is qualified to carry on the research and that the nature of the project justifies such help both by its desirability and by the type of experience to be gained by the students. A student thus employed may be given graduate credit for such work only if the arrangement has been approved by the student's department and the Graduate School and if the student has been enrolled with an active member of the department who has accepted the responsibility for evaluating the work and determining the student's grade.

E. LEAVE POLICIES

1. Sabbatical Leave
2. Extra Compensation While on Sabbatical Leave
3. Leave Without Pay
4. Vacation
5. Sick Leave
6. Military Leave

E.1 SABBATICAL LEAVE

Sabbatical leaves may be granted to a number of members of the faculty not to exceed 4 percent of those on the full-time faculty roster as of July 1 of the fiscal year for which the leave is granted.

Sabbatical leave may be granted, in strictly meritorious cases, to a faculty member who has served continuously for six years or longer. A period of authorized absence of one year or less prior to and including the 1971–72 academic year is counted toward continuing service. In accordance with the October 1971 ruling of the Board of Regents quoted in the section on leave without pay in this publication, periods of authorized leave subsequent to 1971–72 are not counted toward continuing service.

Faculty members on basic nine-month appointments may be granted sabbatical leaves for either the full nine-month academic year at half pay, or one semester of four and one-half months at full pay. Faculty members on basic twelve-month appointments may be granted sabbatical leaves for either eleven months at half pay, or five months at full pay; in the former case, the member receives full pay for the twelfth month of the basic appointment. The Board of Regents, in providing the opportunity for a faculty member to be on leave at full pay, assumes that during the period of such absence no replacement will be required. If the number of applications for leave exceeds the quota of 4 percent, sabbatical leaves will be granted on the basis of merit of the applicant and the applicant's proposal, on the recommendation of the University Committee on Sabbatical Leaves on the Lawrence campus and the Faculty Committee on Promotions and Tenure on the Medical Center campus and with the approval of the Executive Vice Chancellor, Chancellor and Board of Regents.

Lawrence Campus

Applications for sabbatical leave should be submitted, on forms available at the Office of Academic Affairs, together with a vita and a proposal setting forth the objectives of the leave. These may include the pursuit of advanced study or the obtaining of appropriate industrial or professional experience. The acceptance of a teaching appointment at another institution is ordinarily not regarded as an appropriate objective. An application should receive the endorsement of the departmental chairperson and of the dean of the school and should, so endorsed, reach the Office of Academic Affairs no later than November 1 of the year preceding the academic year for which leave is desired. Since the number of sabbatical leaves granted each year is limited by Board of Regents policy, only the authorized number can be recommended for approval. The proposal and credentials of each candidate are reviewed by the University Committee on Sabbatical Leaves which is composed of nine members who are nominated for membership by the Faculty Executive Committee to the Chancellor for three-year, overlapping terms; in addition one member of SenEx and the Vice Chancellor for Research and Graduate Studies serve as ex officio members and the Vice Chancellor for Academic Affairs serves as ex officio chairperson (voting only in case of a tie). The committee acts in an advisory capacity to the Executive Vice Chancellor and the Chancellor who make final recommendations to the Board of Regents.

The regulations of the Regents require that a faculty member who takes sabbatical leave shall sign an agreement to return to the service of the University immediately on completion of the leave and provide at least two years' service to the University. If a faculty member fails to return or to remain in service for the time specified, remuneration will be made to the University, within two years, as follows: a proportion of the leave salary equal to the proportion of time not served, in accordance with the sabbatical leave agreement. It follows from this policy that sabbatical leave will not be granted to a faculty member who will have less than two years to serve after the leave before reaching retirement age. A faculty member returning from sabbatical leave is expected to file a brief report with the Office of Academic Affairs within 90 days.

Medical Center Campus

Forms for application for sabbatical leave are available from the Office of the Vice Chancellor for Faculties and Academic Affairs. Procedures for application as outlined above for the Lawrence campus apply for the Medical Center campus except that applications are due in the Office of the Vice Chancellor for Faculties and Academic Affairs by January 15 for leaves to begin during the subsequent fiscal year (July 1 to June 30). A faculty member returning from sabbatical leave is expected to file a brief report with the Office of the Vice Chancellor for Faculties and Academic Affairs within 90 days.

E.2 EXTRA COMPENSATION WHILE ON SABBATICAL LEAVE

Faculty members on sabbatical leave at half-pay may receive additional income from non-state sources either directly or through regular University administrative processes. When received directly, the maximum increment is the second half-pay plus the amount ordinarily allowed under the University's consulting policy. When administered through the University, the maximum increment is the second half-pay only.

Faculty members on University sabbatical leave at full pay may receive additional income from non-state sources directly to the maximum ordinarily allowed under the University's consulting policy. They may not receive additional income from non-state sources through regular University administrative processes.

Faculty members on sabbatical leave, either full pay or half pay, may not receive additional income through the University from state sources.

In all cases, the acceptance of additional income by a person on sabbatical leave is justified only if the activity for which such income is accepted is congruent with the purposes of research, scholarly writing, clearly related professional experience, and study, for which sabbatical leaves are granted.

E.3 LEAVE WITHOUT PAY

A faculty or staff member who applies for a leave of absence without pay may be granted such leave when it is considered to be in the best interests of the University. A written application with the endorsements of the appropriate departmental chairperson and/or dean or director should be submitted to the appropriate vice chancellor, preferably at least 30 days before action by the Board of Regents is expected. The policies of the Regents state that:

. . . leave without pay will not count toward earning Sabbatical Leave nor will other than a scholarly leave count toward tenure; a scholarly leave will count toward tenure unless the staff member and the institution agree in writing to the contrary at the time the leave is granted. Any extension of a leave without pay for a second year requires the specific consent of the Board of Regents. Two years is the normal limit for such leaves.

If appropriate, a faculty member may request, at the time the application is submitted, that the leave not be considered a scholarly leave. The Vice Chancellor for Academic Affairs, in consultation with the University General Counsel, will determine whether the request is to be granted.

E.4 VACATION LEAVE

Persons holding nine-month appointments are not entitled to vacation leave with pay. Persons holding twelve-month appointments are entitled to one month of vacation leave with pay each year, but such vacation leave may not be accumulated nor may it be claimed as terminal leave after the effective date of the resignation.

E.5 SICK LEAVE

All unclassified faculty and staff forced to be absent from their duties because of illness or disability are eligible to receive sick-leave pay at a rate equal to their usual salary. Sick-leave time is accumulated at the rate of one day per month on the payroll. In addition, all such employees on the payroll or on leave status for the academic year 1974–75 are credited with retroactive sick leave equalling ten days for each year of prior service at Regents' institutions, less any compensated days when the employees were absent from duties because of illness or disability.

The official sick-leave policy approved by the Board of Regents for the State of Kansas Regents' institutions is as follows:

1. **Sick leave for unclassified employees shall be available based upon the years of service at Kansas Board of Regents' institutions.**
2. **Unclassified employees shall be credited with ten days sick leave for every academic year they have been full-time employees at a Kansas Regents' institution. Accumulations for academic years or semesters spent on less-than-full-time status shall be reduced proportionately. Accumulations for time on sabbatical leave shall be proportioned according to the pay status during that period. No time shall be awarded for periods when personnel were on leave-without-pay status.**
3. **Unclassified employees accumulate sick leave at the rate of one working day for each calendar month employed, with no limit on the number of days which can be accumulated. Sick leave with pay may be granted only for the necessary absence from duty because of personal illness or temporary disability of the employee or for legal quarantine. Personal illness shall be defined to include disability caused or contributed to by pregnancy, termination of pregnancy, childbirth and the recovery therefrom.**
4. **If upon retirement an unclassified employee has accrued 100 or more days of sick leave, he or she shall be paid for 30 days of accrued leave at time of severance.**
5. **Each Regents' institution shall adopt appropriate procedures for administering this policy.**

Records of accumulated and used sick leave are submitted monthly by the departmental chairperson to the Office of Personnel Services.

E.6 MILITARY LEAVE

Any unclassified employee with an appointment of .5 time or greater who is a member of the state or national guard or the reserves of the United States armed forces shall be granted a leave of absence with pay for the duration of any official call to emergency duty or to the annual training period. Military leave shall be limited to fifteen calendar days in any calendar year.

F. ACADEMIC RULES AND REGULATIONS

1. Academic Calendar
2. Admission, Registration, Advising, and Enrollment
3. Attendance
4. Visitors
5. Tests, Examinations, and Final Examinations
6. Grades
7. Confidentiality of Student Records
8. Academic Misconduct
9. Special Provisions for Students on the Lawrence Campus
   a. Dean of Men/Dean of Women
   b. Student Health Service
   c. University Counseling Center
   d. Intensive English Center
10. Special Provisions for Students on the Medical Center Campus

F.1 ACADEMIC CALENDAR

The Board of Regents has ruled that the academic calendar shall be followed as published and that any deviation from this calendar for reasons other than natural disasters must have prior approval of the Board of Regents.

Lawrence Campus

The University Calendar Committee, composed of the Dean of Admissions and Records, four faculty members of the University Senate, and four student members of the University Senate, is charged with the responsibility for preparing the academic calendar within guidelines set for all Regents' institutions by the Council of Chief Academic Officers. The calendar for the school year following the ensuing year is submitted to the University Council for approval.

Academic calendars are published in various University catalogs and bulletins and are available through the Office of Admissions and Records as well as through the offices of the various schools and departments.

Medical Center Campus

The Calendar and Catalog Committee is comprised of four members elected by the faculties of the College of Health Sciences. The Director of Student Admissions and Records serves as *ad hoc* member. The committee is responsible for the development of academic calendars for programs in the College of Health Sciences and for the preparation of the College of Health Sciences catalog.

The academic calendar for the Lawrence campus applies to Medical Center students enrolled in semester courses only with respect to the beginning of classes, holidays, the last day of classes, the beginning of examinations, the end of semester examinations, and commencement.

Separate calendars are prepared for: (1) the School of Medicine preclinical program, (2) the School of Medicine clinical program, (3) College of Health Sciences programs in the Graduate School, and (4) College of Health Sciences undergraduate programs (which is published in the *Official Timetable of Classes*). The remaining three academic calendars are distributed to the faculty of the school concerned and are available from the Office of Student Admissions and Records.

F.2 ADMISSION, REGISTRATION, ADVISING AND ENROLLMENT

Lawrence Campus

State law (K.S.A. 72-116) provides that any graduate of an accredited high school in the State of Kansas who has not previously attended a college be admitted to any of the institutions under the Board of Regents. Only in the areas of visual arts, occupational therapy, architecture, and architectural engineering, where physical space is essential to each student, may an applicant who otherwise meets the criteria of this statute be denied admission.

For applicants not within the provisions of K.S.A. 72-116, i.e., those who are not graduates of Kansas high schools and all those who have already attended a college, admission criteria are set by the faculties of the several schools within the guidelines issued by the Faculty Senate (Rules and Regulations of the Faculty Senate, 2.4.1-2.4.5).

The coordination and administration of all aspects of admission to the University is the responsibility of the Dean of Admissions and Records, under the general supervision of the Vice Chancellors for Academic Affairs and Student Affairs.

Registration is directed by the Office of Admissions and Records and takes place before the beginning of classwork in each semester. Arrangements for the academic advising of students are made by the respective deans; advising may take place outside the formal period set for registration and enrollment.

The University seeks to provide sufficient advice and assistance to insure that the student's schedule fulfills his or her personal interests and needs, is consistent with University and faculty regulations, and advances the student toward his or her educational goals and toward graduation.

Good advising is an important aid to the student's education. The adviser should encourage the student to consider both long-range plans and immediate goals. It should be recognized (even by advisers in specialized fields) that most freshmen are undecided about their choice of major, and that many of those who make an early choice change their objectives before they are graduated. These facts should be called to the attention of students who show an inclination to choose courses which would prevent or make difficult any shifting to other fields. Students should be encouraged to plan their programs in the first two years so that they will be well prepared for whatever they may choose to study later. Advisers should keep in mind that approximately two-thirds of the students who graduate from the University continue with post-baccalaureate study—either in academic or in professional fields.

Normally all faculty members are expected to take part in the process of enrollment. Each faculty member is responsible for learning about the course offerings and regulations of the appropriate department or school, as well as the general regulations of the University. Departmental chairpersons will assist the faculty member in acquiring such information.

On the first day of classes the Office of Admissions and Records distributes rosters listing students approved for enrollment in each course. Faculty members are expected to notify the Office of Admissions and Records of discrepancies between a roster and attendance. If a student's name does not appear on the roster and if, after a reasonable length of time, a notice adding the name to the roster does not appear, the student should not be permitted to attend. The Office of Admissions and Records should be notified of any student on the roster who fails to appear.

After the close of regular enrollment, a student may change enrollment only with the approval of the department representative and the dean concerned. Notices of approved changes are sent to the faculty members involved.

Medical Center Campus

Catalogs and other basic information pertaining to the academic programs offered on the Medical Center campus are available from the Office of Student Admissions and Records. Application to the M.D. program is made through the Office of Student Admissions and Records. For the School of Nursing, application and admissions procedures for the undergraduate program are handled by the office of the dean. In the School of Allied Health,

application and admission procedures for baccalaureate and certificate programs are handled through the office of the chairperson of the sponsoring department or the designated program director. Graduate programs are offered by the Schools of Medicine, Nursing, and Allied Health. Admission procedures for these programs are accomplished through the sponsoring school or department and coordinated by the Associate Dean for Graduate Studies of the College of Health Sciences.

Every person* involved in any education or training program at the University of Kansas Medical Center must be registered either in the Office of the Director of Student Admissions and Records or in the Office of the Division of Continuing Education† according to the following guidelines:

a. Every person involved in a program or course giving academic credit or leading to a degree, diploma, or certificate from the University will register with the Director of Student Admissions and Records. This regulation also applies to undergraduate medical students from other institutions who are on this campus for research or clinical experience, whether or not they receive credit or certification from this institution.
b. Every person involved in an adult or continuing education program that does not award academic credit or lead to a degree, diploma, or certificate will register with the Division of Continuing Education of the College of Health Sciences.

Primary responsibility for providing appropriate advising and counseling services to medical students rests with the Office of the Vice Chancellor for Student Affairs. Similar services are provided for nursing students through the Student Affairs Office of the School of Nursing. For allied health students, advising and counseling services are provided by the program director of the specific academic program in which the student is enrolled.

F.3 ATTENDANCE

There is no all-University policy regarding attendance in class or the reporting of absences by the faculty. The various schools, however, are allowed to establish their own regulations regarding class attendance. These regulations are announced to the faculty by the deans of the respective schools, and absence reports that are made should be in accordance with such current regulations.

Despite the absence of an all-University policy, it should be recognized that continued absence from class may indicate that a student has left the campus, and the possibility should be brought promptly to the attention of the Office of Admissions and Records. Accordingly, a faculty member should file a Student Performance Report with the appropriate dean whenever a student has ceased to attend a class; by a rule of thumb, a report is in order whenever a student has been absent without explanation a consecutive number of times greater than the number of hours credit in the course. This suggestion does not in any way contravene the right of a faculty member or dean to establish more strict regulations.

The University does not require a student to produce a written excuse for illness.

Lawrence Campus

When a student has been hospitalized in Watkins Memorial Hospital for three days, the Student Health Service, at the student's request, sends a notice to the Office of Admissions and Records for distribution to the dean of the school in which the student is enrolled, to each instructor, and to the Dean of Men or Dean of Women. A second notice is sent when the student has been discharged.

Official explanations of absences for such causes as illness, field trips, or varsity athletic competition, which the faculty member may occasionally receive, may be helpful in assessing reasons for the absences but are not considered to be excuses from assigned work.

The University assumes that a member of the faculty is under obligation to meet classes at the regularly scheduled hour unless prevented by illness or unavoidable absence from campus. If a faculty member considers it necessary, for sound academic reasons, to move a class to another time, advance notice must be given to the class and arrangements must be made to assure that the change does not work undue hardship on any member of the class.

If a faculty member deliberately and for other than approved reasons fails to meet a class, such action must be considered tantamount to the faculty member placing himself or herself on leave of absence without pay. If such an instance occurs, positive action will be required by the faculty member in order to be restored to pay status.

F.4 VISITORS

A student who is enrolled full-time may visit a class on a regular basis after gaining permission from the instructor. A student not enrolled full-time may visit a class on a regular basis after gaining permission from the instructor and making payment of the University incidental fee. Exception: There is no charge for attendance on a space-available basis for persons over 65 years of age. In any case, no credit will be awarded, no grade will be given, and no permanent record will be maintained.

F.5 TESTS, EXAMINATIONS, AND FINAL EXAMINATIONS

Lawrence Campus

By the regulations of the University Senate (1.3.3),

The instructor of a course shall decide whether a final examination is necessary unless the department in which a course is given (or school, for courses which are not listed in a department) makes that decision. Decisions by the department or school would normally relate to multi-sectioned or service courses. As early as possible in the course, the instructor shall inform the students of the function of the examination in determining the course grade.

The University Senate Committee on the Calendar sets aside a period at the end of each semester for final examinations. For each semester the committee works out a schedule of final examinations which is included in the *Official Timetable of Classes* (published prior to the beginning of the semester); separate printed copies are also distributed well before the examination period. To give a final examination at a time other than that prescribed in the schedule, a faculty member *must* request permission in writing from the Calendar Committee at least two weeks before the examination period. (Such a request should be addressed to the committee in care of the Dean of Admissions and Records.) The regulations of the University Senate (1.3.2) state that:

The Committee may approve such a change only if it occasions no conflicts for the students involved and provided that the revised time for the class examination falls within the regular examination period.

Even though these conditions are fulfilled, the committee may decline to sanction the change if the reasons given seem insufficient. Infractions of these rules are regarded seriously by the Calendar Committee, SenEx, and the administration.

All final examinations are scheduled to last for 2 hours and 50 minutes, no matter how many hours a week the class has met during the semester. The exception to this general rule is that all final examinations in a summer session are given in the last meeting or meetings of courses.

The School of Law is authorized to set its own schedule of final examinations, with the understanding that it may not cause conflicts in the individual schedules of students from other schools who have enrolled in courses in law.

A faculty member is responsible for the adequate supervision of final examinations in courses.

By the same regulations (1.4),

* Except for KUMC employees involved in in-service training programs.
† Formerly known as the Department of Postgraduate Medical Education.

Examinations and tests other than final examinations shall normally be given during regularly scheduled class or laboratory hours.
Examinations may be given at times other than regular class hours when the time and place are approved by the Dean of Admissions and Records and published in advance in the *Official Timetable of Classes.*

Medical Center Campus

All tests, examinations and final examinations are scheduled at the discretion of the department chairperson or program director with due regard for any procedures which may have been established by the school in which the department, program, or course is administered. At the beginning of a course, students should be given a schedule of all major examinations, including any final examination, as well as a statement of the policies governing the administration of examinations and the use of individual examination results in computing and assigning grades.

F.6 GRADES

The regulations of the University Senate prescribe that the letters A, B, C, D, I, F (and S and U for certain approved courses) shall be used to indicate grades in all schools except the School of Law, the College of Health Sciences, and the Graduate School. Each of these schools publishes its grading system in its catalog. The regulations (2.2) define the letter grades as follows:

. . . A, shall be reserved for work of marked excellence, indicating high honor.

. . . B, shall represent work of much more than average quality.

. . . C, shall indicate work has been of average quality.

. . . D, shall represent work, the lowest quality that would enable a student to pursue, without undue lack of material or method, the next dependent course, whether this latter be in the same department or in a related department. In case the course in question is not used as a prerequisite for others, a standard equivalent should be observed.

. . . F, U (unsatisfactory), and NC (no credit) shall indicate that the quality of work was such that, to obtain credit, the student must repeat the regular work of the course, or that the student's work was not of passing quality at the time of disenrollment from the course.

. . . I, shall indicate incomplete work, such as may be completed without re-enrollment in the course.

The grade of I should not be used when a definite grade can be assigned for the work done. It shall not be given for the work of a student in any course except to indicate that some part of the work has, for good reason, not been done, while the rest has been satisfactorily completed. When an I is reported, the character and amount of work needed to remove it should be indicated on the "Explanation of Incomplete" card for the student's dean.

An I must be made up in the next semester of enrollment, except when the removal of the I involves the repetition of a portion of the classroom work, in which case it shall be removed in the first semester of residence in which the course is offered. An I not removed according to this rule shall be regarded as a grade of F, W, U or NC on request of the student's dean, with the consent of the instructor, if possible, or the department chairperson if the instructor is not available, and so indicated on the permanent record.

. . . . . .

A student may by notice to his or her dean cancel his or her enrollment in a course during weeks one through four of the semester or during weeks one and two of the summer session, and have the course deleted from his or her record.

A student may by notice to his or her dean drop his or her enrollment in a course during weeks five through twelve of the semester or during weeks three through five of the summer session, and receive a grade of W. . . .

Beginning with week 13 of the semester or week six of the summer session, and continuing to the last day of classes for that term, a student may drop his or her enrollment in a course by requesting the instructor to record a grade of W or F or U in a course where S and U grades are used, at the instructor's option, on the grade sheet.

. . . . . .

The withdrawal of a student from the University shall be reported by the dean to the Dean of Admissions and Records for posting to the permanent record after consultation with the appropriate personnel dean.

. . . . . .

. . . Credit/No Credit option may be chosen by the student at his or her dean's office during the third and fourth weeks of the semester or during the second week of the summer session.
The student shall not select this optnion in courses in his or her declared major and shall have the choice of only one option per semester. After the close of the option period, the student cannot alter his or her choice.
For courses in which the student selects the credit/no credit option . . . the grade of CR (credit) will be received for grades of A, B, and C. The grade of NC (no credit) will be received for grades D and F.
The instructor will not be informed when a student has chosen this option, and will assign a conventional letter grade, which will then be converted by the Dean of Admissions and Records to CR or NC as appropriate.
Courses graded CR or NC will not count in computing grade-point average. Courses graded CR will be included in the total hours counted toward graduation; courses graded NC will not count as hours earned.

. . . . . .

When it would not be appropriate to grade a course according to the grading system established above, a school may authorize the use of grades S and U in designated courses. A course to be graded S or U shall be identified prior to the beginning of the course by publication in the *Official Timetable of Classes.* Approval to offer a course with the S and U grading system precludes the use of grades A, B, C, D, or F. The grade of S shall indicate the student did satisfactory work and these hours will count toward graduation. The U grade shall indicate the student's work was unsatisfactory and these hours will not count toward graduation. Grades of S and U will not count in computing the grade-point average.
A dean of a school may request permission of the University Council to use a grading system other than those herein provided for a specified trial period.
The grade of + shall indicate that credit was awarded on the basis of an examination or other appropriate experience or training, rather than as a result of the student completing the regular work of the course.

The University does not recommend any single system of equating the letter grade to numerical brackets, any single formula for grading on a curve, or any single set of grading standards. A faculty member is expected to take the initiative in learning the methods and rules of the department and school. By the regulations of the University Senate (2.1.2),

the basis for the evaluation of student performance in a course should be announced to the class at the beginning of the semester.

Before the end of the first six weeks of classes, a faculty member should give sufficient individual work and enough tests to enable identification of freshman and sophomore students whose work or attendance is unsatisfactory. Each instructor is asked to report such students to the academic dean, using the Student Performance Report form, at any time the instructor believes the students would benefit from further assistance. This report does not become a part of the permanent records of the University.

At the end of each semester the faculty member will be furnished duplicate grade sheets for all classes. The faculty member must indicate a grade for each student, sign the grade sheets, and return one copy to the Office of Admissions and Records within a specified time. The faculty member should deposit the other copy of the grade sheet with the department. Faculty should remember that tardiness in reporting grades inconveniences many students. By the regulations of the University Senate (2.3),

No change in a grade shall be made after it is filed with the Dean of Admissions and Records except upon the written request of the faculty member in charge of the course and with the approval of the chairperson of the department in which the course is given.
Normally a change may be made only when necessary to correct a clerical error.

At any time in the semester a student should be able to discuss progress in class with the instructor. The University assumes that an instructor will be available for a reasonable number of appropriate hours to consult with students.

Many students submit self-addressed postcards with their examination papers. This implies a request that the faculty member write the student's grade on the postcard and mail it at the earliest convenient moment. This practice promotes good student relations and tends to relieve the students of worry.

Medical Center Campus

The grade policies detailed above apply to all semester enrolled students in the College of Health Sciences including those in nursing, physical therapy, medical technology, medical records, respiratory therapy, emergency medicine, and dietetics and nutrition. Grades for Graduate School students in graduate programs in the College of Health Sciences will be assigned in accordance with the grading system described in the Graduate School catalog.

The following grades are used in the School of Medicine for medical students:
. . . Superior, shall be used for the student who has attained a performance of particularly high quality.
. . . Satisfactory, shall be used for the student who has attained an adequate performance.
. . . Unsatisfactory, shall be used for the student whose performance has been less than adequate.
. . . Incomplete, shall be used for the student who has not completed the academic work required for the course and is otherwise in good standing in the course. An incomplete grade must be removed within one calendar year; otherwise, it will be considered unsatisfactory.
By written request to the responsible faculty a student may withdraw from any course without receiving a grade prior to the time normally required for completing one-third (1/3) of the respective course. If the student withdraws after that time, the student receives the grade of withdrew passing (WP) or withdrew failing (WF) at the time of withdrawal and the course is not considered completed.

F.7 CONFIDENTIALITY OF STUDENT RECORDS

Students have the right in inspect all educational records personally identifiable as their own, except for certain components of such records exempt from inspection by 20 U.S.C. 1232 g(a)(1)(B). The University may release non-directory information contained in such records to only those persons or organizations specifically enumerated in 20 U.S.C. 1232 g(b) without the prior, written permission of any identifiable students. Law enforcement records of the campus Security Division are not educational records and may be released only to other law enforcement agencies of the jurisdiction. Further information on this subject may be obtained from the Vice Chancellor for Student Affairs or the General Counsel of the University.

F.8 ACADEMIC MISCONDUCT

Lawrence Campus

By the regulations of the University Senate (2.6),

Academic misconduct by a student shall include giving or receiving of unauthorized aid on examinations or in the preparation of notebooks, themes, reports or other assignments, or knowingly misrepresenting the source of any academic work. Academic misconduct by an instructor shall include grading student work by criteria other than academic performance, or repeated and willful neglect in the discharge of duly-assigned teaching duties.

. . . . .

Every instructor shall make clear, at the beginning of each course, his or her rules for the preparation of classroom assignments, collateral reading, notebooks, or other outside work, in order that his or her students may not, through ignorance, subject themselves to the charge of academic misconduct.

The regulations also define the correct modes of treating academic misconduct on the part of a student or an instructor. The following sanctions may be imposed upon a student or an instructor: admonition, warning, or censure. In addition, a student may be subjected to: reduction of grade, disciplinary probation, suspension, or expulsion. An instructor may also be recommended for suspension or dismissal for academic misconduct.

Medical Center Campus

The foregoing regulations concerning academic misconduct by a student apply to semester enrolled students in the College of Health Sciences. In all other cases, alleged instances of academic misconduct by a student are initially directed to the department chairperson. If necessary, the alleged instance may be taken to the dean of the school, the academic committee of that school or the Vice Chancellor for Student Affairs.

Alleged instances of academic misconduct by a faculty member are initially directed to the department chairperson and then to the dean if necessary. In extraordinary cases, the matter may be brought to the Vice Chancellor for Faculties and Academic Affairs.

In all alleged instances of academic misconduct, whether by a student or a faculty member, care must be exercised to preserve the requirements of due process.

F.9 SPECIAL PROVISIONS FOR STUDENTS ON THE LAWRENCE CAMPUS

The following specialized services are available to students:

a. Dean of Men/Dean of Women

Faculty members who encounter students needing special help in overcoming educational, social or personal handicaps, or in securing expert advice, may refer them to the Dean of Men or the Dean of Women. Special assistants in these offices may be consulted by students on personal and other extra-classroom problems.

b. Student Health Service

The Student Health Service provides quality health care at reasonable cost for students of the University. The services are designed to meet most general health needs of the student community. Most services are covered in full by the prepaid student health fee. Costs of some services and medications are paid in part through itemized charges. Students may elect to see any of the Health Service physicians. A faculty member wishing to discuss a problem involving a student may call a physician directly; however, medical records are confidential, and medical information cannot be released without the explicit consent of the patient.

If the need for health care services arises while a student is on the Medical Center campus in some official capacity (as a student or an employee), the student has access to the Medical Center Student Health Service as described below (see F.10).

c. University Counseling Center

The University Counseling Center is the designated University agency to provide counseling service to students on a wide range of personal, educational, and vocational concerns. One of the special concerns of the Center is student career decision-making. In addition, the Center has applications for and administers some of the examinations required for admission to graduate and professional schools such as the Graduate Record Examination (GRE), the Medical College Admissions Test (MCAT), and the Law School Admissions Test (LSAT). Appointments may be made in person or by phone.

d. Intensive English Center

The Intensive English Center offers a full-time English language program for foreign students and provides remedial English courses for the University's foreign students who have language deficiencies. By regulation of the Faculty Senate (3.4),

A foreign student whose native language is not English shall, prior to or concurrently with his or her other enrollments in the University, enroll in such work in English as shall be specified in the Intensive English Center.
A school or department shall, in consultation with the Intensive

English Center, establish standards of competence in English for foreign students enrolled in it.

F.10 SPECIAL PROVISIONS FOR STUDENTS ON THE MEDICAL CENTER CAMPUS

Faculty members may refer students to a number of special services they may require. These resources are necessarily limited and may not always be immediately available. The Office of the Vice Chancellor for Student Affairs and the offices for student affairs within the individual schools may be consulted by students or by faculty members for assistance in identifying and utilizing these special services.

A Student Health Service is available during regular office hours, where students may seek health care either by appointment or on an emergency basis. In the evening, and on nights and weekends when the Student Health Service Office is closed, health care services are available to students through the hospital emergency room. Medical Center students have access to the Student Health Service on the Lawrence campus as described above when they are in Lawrence in some official capacity.

Counseling services are available to students through the Office of the Vice Chancellor for Student Affairs and the offices of the assistant deans for students in each respective school.

Foreign students have access to the Intensive English Center on the Lawrence Campus as described above.

Other student services, including those which support the various student organizations on the Medical Center campus, are available in the facilities of the Student Union building. These include the bookstore, the note taking service, food service, living quarters, and social activities.

G. SERVICES

1. Mail Service
2. Office Supplies
3. Purchasing
4. Printing and Binding
5. Publications
6. Textbook Orders
7. Telephone Lines
8. Official Hospitality
9. Parking and Traffic: Policy-Making Bodies
10. Parking and Traffic: Regulations
11. Scheduling Events

G.1 MAIL SERVICE

Lawrence Campus

The U.S. Post Office has a substation in the basement of Strong Hall. Mail is delivered daily, Monday through Friday, to one designated delivery point in each major campus building. The specially perforated stamps supplied by the University for official use are not to be used for other than University-related mailings.

The University maintains a campus mail service intended for official University business. Mail is picked up and delivered to campus offices free of charge on a regular daily schedule. The use of the campus mail service and of its delivery and distribution facilities for personal, solicitation, or political purposes is expressly prohibited. Exceptions to this general policy may be granted by the Chancellor or Executive Vice Chancellor when the exception is deemed to be in the best interests of the University.

Medical Center Campus

The Medical Center mail room collects, sorts, and distributes both intramural mail and that sent through the U.S. Postal Service. The mail room staff delivers mail on a daily basis to departmental offices where it is distributed to individual members of the faculty and staff. The mail room affixes postage to official mail prepared on University stationery. The mail room does not have postage stamps available for sale and therefore all personal mail must be handled outside of the facilities of the Medical Center mail room. However, a U.S. Postal Service mail box is available for employee use in the mail room area.

G.2 OFFICE SUPPLIES

Lawrence Campus

All office supplies should be requisitioned through the departmental office. Most office supplies are available through the Office Supply Store (not to be confused with the Student Union Bookstore) and can be purchased through University purchasing procedures. The Office Supply Store has no provisions for accepting cash payment for supplies. State law prohibits reimbursement or payment for supplies purchased elsewhere that are available in the Office Supply Store.

Medical Center Campus

Office supplies are obtained through the departmental offices. A designated departmental secretary or clerk will assist in obtaining necessary office supplies either from the Medical Center General Storeroom, the Student Union Bookstore, or an appropriate external vendor. Forms and information relating to purchasing procedures may be obtained from this departmental source.

G.3 PURCHASING

Purchasing for the University must adhere to state law and is processed through the University Purchasing Office to the State Department of Administration, Division of Purchases. The law which created the Division of Purchases requires competitive bidding wherever possible in the procurement of repairs, supplies, materials, equipment and services. Detailed information concerning purchasing procedures can be found in the *Business Procedures Guide*.

G.4 PRINTING AND BINDING

Lawrence Campus

All printing and binding paid for with state-administered funds must be purchased from the Printing Service or from the State Printer in Topeka. The Printing Service is equipped to do all types of letterpress and offset printing, from small offset duplicator jobs to multi-color printing on web and sheet-fed presses. It operates a complete mailing service, including addressing, inserting in envelopes by machine, metering, and mailing for both U.S. and campus mail services. To initiate a printing request, copy and a Service Order Voucher should be submitted to the University Purchasing Office.

Medical Center Campus

The Print Shop provides offset printing and other simple duplicating processes. Purchase requests for printing jobs are made directly to the Print Shop using the appropriate work order form available in quantity through the General Storeroom. The Print Shop can also offer advice and often can provide a means for more sophisticated printing jobs through its contacts with outside jobbers especially including the Printing Service in Lawrence and the State Printer in Topeka. Printing requests must be approved by the appropriate departmental officer. The costs of requested printing jobs are charged to the department of which the employee is a member.

G.5 PUBLICATIONS

The Rules and Regulations of the University Senate (4.1.1) stipulate that:

Any publication funded through or produced by a University agency is the responsibility of the editor of the publication. Such editor bears full civil and criminal responsibility for the form and content of the publication. Each such publication must identify the responsible editor.
In this regulation, the term "editor" means the person, board, or other agency which determines the form and content of the publication.

G.6 TEXTBOOK ORDERS

Lawrence Campus

All textbooks may be ordered through the Student Union Bookstore. Orders should be placed in accordance with the instructions issued by the bookstore so that books will be available when classes begin.

Medical Center Campus

All textbook orders for courses offered on the Medical Center campus may be made through the Student Union Bookstore. Instructors are encouraged to place textbook orders well in advance of the first meeting of their class in order to insure books will be available at the earliest possible time.

G.7 TELEPHONE LINES

Use of the University's direct telephone lines to and from Topeka, Lawrence, and Kansas City is limited strictly to official University business. These direct lines must not be used for personal calls at any time of the day or night.

Personal telephone toll calls must not be charged to University telephones with the expectation of reimbursing the department. Because the University is an educational institution and an

agency of the State of Kansas, telephone service and tolls are not taxable. The University has no means of accepting and remitting the state and federal tax that should be paid in connection with personal telephone toll calls.

G.8 OFFICIAL HOSPITALITY

Lawrence Campus

The term "official hospitality" is used to refer to certain types of expenditures in connection with the presence of visitors to the campus for which the University bears the cost because the visit is demonstrably to the benefit of the University.

a. Entertainment and hospitality for official guests of the University includes such items as lodging, meals, refreshments at receptions, coffee for seminars or social hours, flowers used as table decorations, and delivery charges in connection with any of these. A request for official hospitality on the proper form should be endorsed by the chairperson and/or dean and submitted two weeks in advance for consideration by the appropriate vice chancellor's office. Within available funds, reasonable applications will be approved. If approved, the expenses will be paid by the Chancellor's Office. By state law, official hospitality may be paid only from funds appropriated for this purpose.
b. "Official hospitality" will normally utilize the facilities of the Kansas Union. The use of off-campus restaurants or caterers requires special justification.
c. A function made up entirely of employees of the State of Kansas, or present or prospective University students, or the families of any of these, or any combination of these groups, cannot qualify for reimbursement as "official hospitality."
d. Entertainment and hospitality for which the cost is covered by a registration fee, as in the case of conferences and Continuing Education classes, will not be considered as "official hospitality."
e. Expenditures on official hospitality for members of the legislature, the Board of Regents or its staff, or other state officials who might have an interest in University affairs must be reported to the University's registered agent in the month in which they are made. The University's registered agent is the Executive Director of the Alumni Association.

G.9 PARKING AND TRAFFIC: POLICY-MAKING BODIES

Lawrence Campus

The Parking and Traffic Board is composed of four faculty members of the University Senate, four student members of the University Senate, the Director of the Office of Facilities Planning, and the Chief of Campus Police. The Board develops policies, procedures, and specific regulations for the control and management of the parking and movement of vehicles on property under University control.

Medical Center Campus

The Medical Center Parking Committee is composed of faculty and administration representatives who are appointed by the Executive Vice Chancellor. The committee develops policies and establishes parking and traffic regulations for vehicles operated on Medical Center property.

G.10 PARKING AND TRAFFIC: REGULATIONS

Lawrence Campus

The University's vehicle registration, parking, and traffic program is designed to protect the flow of pedestrians and to adapt traffic to the topographical limitations of the campus. When parking and traffic regulations are in effect, on-campus parking and vehicular access to the central campus are restricted to cars with the proper access and parking permits.

A booklet on parking and traffic regulations is issued with car registration materials. Copies are available at the Security and Parking Office in Hoch Auditorium. Visitors may obtain temporary access and parking permits at any traffic control station. Members of the faculty who are expecting visitors from out of town would do well to advise the Security and Parking Office in advance and obtain proper permits or passes.

All vehicles driven on campus by student, faculty, or staff members must be registered with the Security and Parking Office before the first day of classes at the beginning of each fall semester. A vehicle driven on campus after the beginning of the school year must be registered within 48 hours. Registrants will receive an identification sticker which does not confer parking privileges; the registration is not valid or complete until the sticker is permanently affixed at the prescribed place on the vehicle. Damaged registration and parking stickers must be exchanged and replaced; obsolete and expired registration and parking stickers must be removed. Should the registrant sell or trade the vehicle, the stickers must be removed and brought to the Security and Parking Office to obtain new stickers at no charge. Registration and parking stickers are valid for the school year beginning at 12:01 a.m. on the first day of classes in the fall term and ending with the first day of classes in the following fall term.

A permit to park on the campus, signified by a sticker, is ordinarily restricted to a zone of a specified color.

Parking permits may be assigned to those who (a) have physical disabilities certified by a physician's signature on their application card; (b) require a vehicle for special assignments or the performance of official duties; (c) live beyond reasonable walking distance from the campus, with no public transportation available; or (d) are subject to other extreme circumstances.

Traffic control on the campus does not continue unchanged throughout the day and night. In some zones, a permit to park is needed only between 7:00 a.m. and 5:30 p.m. on Monday through Friday, and between 7:00 a.m. and noon on Saturday. In some other zones the hours are between 7:00 a.m. and 3:00 p.m. on Monday through Friday. The use of certain other zones is restricted 24 hours a day to faculty and staff registered vehicles, and to student-owned vehicles regularly assigned to the zones in question, on all the days of the week including Sunday. A few areas on the campus, within the controlled area, are restricted to the use of visitors and guests 24 hours a day on all days of the week including Sundays; these are signified by signs and possibly by blue-painted curbings.

The University Parking and Traffic Board reviews requests for restricted parking privileges and makes assignments. The applicant is responsible for inquiring about committee action on the request. The charge for a permit to park in a restricted zone varies from $15 to $30 depending on the zone assigned.

University and city tickets will be given for parking offenses when the vehicle is found in violation. A separate ticket is given for each offense.

Petitions for administrative review of violations by the University's Parking and Traffic Court may be made within fourteen days of the ticket date. Petition forms are available at the Parking Services Office. Failure to pay or petition for review within that time may result in prosecution of the violation by the University as a misdemeanor in the Douglas County Court and may result, if found guilty, in court costs and a possible maximum fine of twenty-five dollars ($25). A faculty member who has unpaid fines from previous years is not eligible to receive a parking permit until the fines have been paid, appeal has been granted by the University Court, or special provisions for permit issuance have been granted by the Parking and Traffic Board.

City ordinances covering such matters as parking at bus stops, fire plugs, safety zones at intersections, and certain loading zones are enforced by the campus police; but city violation tickets will

be issued, resulting in a summons to appear in the Lawrence Police Court.

Medical Center Campus

At the University of Kansas Medical Center, all campus parking is restricted. Space in permit controlled parking zones is available only to registered vehicles with assigned parking permits. Registration is accomplished through the office of the Campus Patrol. There are four types of parking lots provided at the Medical Center: (a) *Concessionaire operated lots* with attendants are provided for patients and visitors. Rates are as displayed at the entrance. (b) *Reserve parking lots* for staff, employees and students only upon payment of the appropriate fees. Areas reserved vary as availability or the requirement changes. Identification is by appropriate decal. Admission may be through the card operated gates. (c) *Coin operated gate lots* for employees and students only. Identification is by appropriate decal. (d) *Metered parking spaces* are provided in some areas and are restricted to the use posted at the entrance. Rates are as displayed on the meter.

Other regulations regarding registration are: (a) Special permits for controlled parking zones may be assigned by the Medical Center health service physician to faculty, employees, or students with severe physical disabilities. In other extreme cases, special permits may be assigned by the Vice Chancellor for Medical Center Administration. (b) The parking permit will consist of an identification sticker displayed as instructed and a gate operating card where appropriate. (c) If permit holder acquires a new vehicle which is to be parked in a permit controlled parking space or if a new license number is received for a vehicle for which a permit has been issued, the change in vehicle and/or license number must be reported to the traffic and security office within five working days of the change in vehicle or license. (d) Gate operating cards and identification permits are not transferable. (e) Duplicate identification permits will be issued to persons registering more than one car. (f) Damaged gate operating cards and identification permits must be exchanged and replaced. (g) Reserved parking permits shall be valid for a period of one academic year beginning on September 1st, except that medical house officer permits are valid for a period of one calendar year beginning on July 1st. (h) Permission for emergency access or parking for faculty, employees, students, and visitors may be requested at the traffic control station on the emergency drive or at the traffic and security office.

With respect to penalties for violations, the following regulations shall be enforced: (a) Faculty, employee, and student violators of parking and registration regulations will receive Medical Center tickets requiring payment of penalty fees and/or discipline enforced by the Medical Center. Fees are to be paid at the security office for subsequent forwarding to the Medical Center Business Office. (b) The registrant or owner of a vehicle shall be responsible for all violations identified with that vehicle, including those received while it is in the possession of another person. (c) The Medical Center reserves the right to revoke the privilege of operating a vehicle on campus in the case of excessive violations of regulations. (d) Medical Center tickets will be issued for: Parking in a controlled zone without a permit for that zone; parking on lawns, in access drives, center lanes, or other areas on the campus not specifically intended for vehicle parking; other violations in controlled parking zones; failure to report a newly acquired vehicle or license number; parking in other than the assigned authorized area; gaining improper entrance to the gate operated zone; overtime parking or misuse of emergency parking or loading permission. (e) Tickets received on vehicles parked for an emergency in the drive in front of the hospital emergency room may be immediately appealed by taking them to the traffic and security office for a cancellation if appropriate. (f) Medical Center tickets received for all violations are cumulative for the fiscal year beginning on July 1st. (g) Students with unpaid fees will not be permitted to reenroll, graduate, or transfer records. Faculty members and employees with unpaid misuse fees will be subject to disciplinary ruling by the Vice Chancellor for Medical Center Administration. (h) An appeal may be filed with the Medical Center Parking Committee within five days of receipt of the violation ticket. Appeal forms are available at the traffic and security office. Appellants are notified of the Parking Committee's action. (i) Five violations per year are considered to be excessive. Faculty members, employees and students accumulating this number may be subject to discipline by the Vice Chancellor for Medical Center Administration. Such discipline may include towing of the violator's vehicle from the campus or, in the case of students, suspension or expulsion from the Medical Center. In the case of tow-offs, costs will be paid by the driver or owner of the vehicle. (j) City ordinance 40386 covering traffic lanes on the campus shall be enforced by consent of the Board of Regents:

City of Kansas City regulation 40386: An ordinance relating to and regulating the parking of vehicles at the University of Kansas Medical Center and providing a penalty for the violation thereof. Be it ordained by the board of commissioners of the city of Kansas City, Kansas:

Section 1: It shall be unlawful for any person to stop or park any vehicle on any of the traffic lanes at the University of Kansas Medical Center for any time longer than is necessary to load or unload such vehicles.

Section 2: Any person violating the provisions of this ordinance shall be deemed guilty of a misdemeanor and upon conviction, punished by a fine of not less than $5.00 nor more than $50.00.

City tickets will be issued for this and any other city ordinances consented to by the Regents; such tickets will be payable to the city. The Board of Regents reserves the right at any time to withdraw its consent to the enforcement of this and any other regulation by amendment or repeal of this regulation.

All fees collected from permit sales and from coin operated gates will be deposited in the Medical Center restricted fee parking fund. This fund will be used for the supervision, maintenance and acquisition of parking facilities for the Medical Center.

G.11 SCHEDULING EVENTS

Lawrence Campus

The approval of the University Events Committee is required to schedule events where any of the following conditions exists:

a. if an admission charge is made; or
b. if non-student entertainment, other than dance bands, is involved, or
c. if the proposed event or activity may be classified as a sale, benefit, solicitation, or promotional venture; or
d. if any campus auditorium or the Potter Lake area is to be used; or
e. if any public area, not directly scheduled by another University agency, is to be used.

The following restraints also should be noted. No selling is permitted on campus unless the activity or event of the selling agent is for the benefit of the University community, with any financial accrual resulting from the activity to be recycled into nonprofit or student service projects. No activity or event will be approved for the private gain of individual petitioners.

The University Events Committee should be notified of any events of general interest which require the use of University facilities, whether or not Events Committee approval is required. For those events which do not require the approval of the Events Committee, reservations should be made at the reservations desk of the Kansas Union for Union facilities; with the reservations clerk in the Office of Admissions and Records for classroom space; with the Intramural Office in Robinson Gymnasium for recreational facilities; with the Allen Field House Utilization Committee for Field House facilities; and with the Information Center for the Information Booth on Jayhawk Boulevard.

Medical Center Campus

The scheduling of special events such as lectures, workshops, symposiums, etc., is made through the Office of Medical Center Relations which maintains a master calendar of events. The events should be scheduled by the department chairperson concerned or any other member of the staff involved in making arrangements for the events. If there are any other events which have been previously scheduled for the time requested, or on the same day, the staff member will be informed by the Office of Medical Center Relations and can take any appropriate action. The purpose of the central calendar is to avoid serious conflicts between two or more events which might compete with each other and thereby reduce the potential attendance at these special events.

H. RESEARCH

1. Research Administration
2. Classified Research
3. Copyright Procedures
4. Patent Policy
5. Research, Health, and Safety
   a. Human Subjects
   b. Animal Care
   c. Health Physics—Radiation Sources
6. Research Aids

H.1 RESEARCH ADMINISTRATION

Lawrence Campus

The University of Kansas encourages research by its faculty. On the Lawrence campus, the Office of Research Administration provides advice and assistance in identifying target agencies and in preparing and submitting applications for sponsored research grants and contracts.

By direction of the Chancellor, and in compliance with state law,

all applications for sponsored research and for external support of institutes, conferences, demonstration and training programs, and similar academic or service programs, excepting the specific cases listed below, must be submitted through the Office of Research Administration. Requests for support of similar programs, intended for consideration by the Kansas University Endowment Association, must be submitted through department, dean or director and vice chancellor for review and approval by the Executive Vice Chancellor and the Chancellor, prior to consideration by the Endowment Association.

The Office of Research Administration under the direction of the Vice Chancellor for Research and Graduate Studies is the authorized University agency for the submission and negotiation of all proposals for new or continued outside support of University projects. The Vice Chancellor and the Dean and Associate and Assistant Deans of Research Administration are authorized to review and approve such proposals for the University. They are responsible for negotiating and administering the agreements. All proposals involving international programs or minority affairs will be reviewed jointly with other offices in the University with proper authority. Some engineering research is similarly administered through the University of Kansas Center for Research, Inc.

State law requires that every state agency and employee thereof file with the State Budget Director a copy of every application or agreement for non-state funds. This requirement is not intended to include essentially personal or private applications or agreements such as NEH, NSF, or NIH pre-doctoral fellowships or ACLS or NSF travel grant applications, and consulting arrangements with industry, foundations, or federal agencies. In general, these latter essentially personal rather than institutional applications or proposals are not submitted through this office unless the prospective awarding agency specifies review and approval by the University. All other applications or agreements, however, are within the scope of the filing requirement. By direction of the Chancellor it is the responsibility of the Office of Research Administration to transmit the required file copies to the State Budget Director.

The Faculty Senate Committee on Research, which is broadly representative of all major research areas in the University, makes recommendations concerning University research policies.

Medical Center Campus

On the Medical Center campus, the above functions and services are fulfilled by the Research Office, the Dean for Research, and the Research Committee, respectively.

The Research Committee is comprised of eight elected members of the faculties of the College of Health Sciences. The Dean for Research and a representative of the Office of Research Administration in Lawrence are also members of this committee. It is the coordinating body for the functions related to resources and facilities for research. As such it reviews and recommends the policies for management of institutional research grants and fellowships and for certain related service facilities not under other direction.

H.2 CLASSIFIED RESEARCH

A Statement of Policy on Classified Research at the University of Kansas was approved by the University Senate on October 23, 1969, and is reproduced in full below:

University policy concerning research is derived from the University's general goals. Among the University's most basic goals are the development, use, and dissemination of knowledge.

One such goal is the development of new knowledge, necessarily through research by faculty and students. Another goal is the constant submission of all knowledge, new and old, for reappraisal by anyone concerned. A third goal is the dissemination or teaching of such knowledge as apparently still stands the test of reappraisal, as well as teaching the techniques of reappraisal themselves. And to the extent that the University is a part of the society which built and maintains it, the security of that society in times of national emergency can be a goal of the University.

The integration of multiple goals traditionally has depended on the exercise of reason and good will within the University community. Thus, the policy which follows states only the general consequences of our multiple goals for the problem of classified research and assumes that specific cases will be fitted to that policy in an open and reasonable manner.

Classified research may be broadly defined as research in which the University accepts from outside some abridgement of the usual requirement that the total procedures, techniques, tools, data, results, and products of the research are open to inspection and appraisal by any legitimately interested person, usually through unrestricted publication by the investigator at such time as he deems appropriate. Research may be classified with respect to (1) its primary sources, (2) the process itself, or (3) its product; and the abridgement or classification may be made in the interest of the Government, corporate organizations, or individual persons.

The basic policy of the University of Kansas is simple: This University will accept no theses, dissertations, research grants, contracts, assignments, or agreements which are classified, subject to the following exceptions only:

1. **Classification of Primary Sources—Individuals, corporate organizations, and Government agencies are sometimes willing to permit access to private records and to provide personal data for use in research so long as the confidential nature of the materials and the privacy of the individual is respected. In the Humanities such limitations are often placed upon the use of primary sources, in the Behavioral Sciences on the identity of the subject, in the Engineering Sciences on data furnished by corporate or Government bodies. Such restrictions are acceptable when they are in the best interests of the researchers and the University and the integrity of the investigators and their work is not compromised.**
2. **Classification of Process—The University will allow the momentary classification of research when this classification is required by outside agencies to protect their interests by preserving the privacy of the data, records and products generated in the processes of the research, provided such momentary classification is deemed in the interest of the University and all faculty members and students who are involved.**

   In the case of student research, such classification shall be further limited by the proviso that it shall not restrict in any way, the Department and Graduate School in their usual practices of appointing members to the student's advisory committee, nor the student's freedom to seek expert advice and assistance from the faculty, nor the ability and duty of the members of the student's advisory committee to inspect the research process and product at any time.
3. **Classification of Product—This momentary classification will not extend beyond one year after the development of the research result or product, the point of development being judged by the responsible investigator. Such momentary classification may be accepted only when its conditions are approved in writing by the Office of Research Administration and the faculty member concerned.**

When students propose to use the research for a thesis or dissertation or other requirement of a graduate enrollment, such classification shall be further limited by the proviso that, (a) theses and dissertations performed as part of such research will be unclassified, or else will not be submitted to the committee, for formal defense,

until they are declassified, i.e., until their procedures, techniques, tools, data, and results are open to inspection by any member of the Graduate Faculty; and (b) the conditions must be approved in writing by the Graduate School, the students involved, the Office of Research Administration, and the faculty member concerned. It shall be the responsibility of the faculty member to secure such approvals.

4. **National Emergency—In times of national emergency declared by the Congress, the University through its established procedures and channels may accept classified research grants, contracts, assignments, and agreements in the interests of national security and appropriate to the nature of the emergency and the resources of the University.**

Although thus committed to a policy of discouraging classified research projects, the University maintains a Facility Security clearance to facilitate the acquisition, storage, and use of classified information where necessary and appropriate for its research activities. Several administrative officers and faculty members hold Department of Defense security clearances. Questions and requests for assistance may be addressed to the University Security Officer through the Office of Research Administration on the Lawrence campus, or through the Office of the Dean for Research on the Medical Center campus.

H.3 COPYRIGHT PROCEDURES

When the product to be copyrighted is the result of partial or full support by any public or private agency through a grant or contract administered through the University of Kansas Office of Research Administration the following copyright procedures are to be followed.

If a project funded partially or completely from contract, grant or other outside sources produces a product where copyright is being considered, the director shall report this consideration to the Dean of Research Administration.

The report is necessary for the following reasons:

a. The Office of Research Administration is the agent of the University which represents a sponsored project to the granting agency in *all* cases. It is this legal responsibility that results in this office's concerns for seeing that both the outside agency and the person(s) wishing to copyright are fairly represented.

b. Different agencies have different policies concerning copyrighting. The Office of Research Administration and the General Counsel of the University can provide necessary information concerning: (1) the differences between agencies with respect to their requirements; (2) information on contracts with publishers where copyrights are involved; and (3) information on copyrighting in general.

Therefore, before any copyright is applied for or before any contract is signed with a publisher that involves a product from a project supported in whole or in part by outside funds, a report must be made to the Office of Research Administration. (An outline of the report form may be obtained from the Office of Research Administration.)

Exceptions: The publication of journal articles or single chapters in books is exempt from the above reporting procedures. The production of a book or a substantial portion of a book where a faculty member is a co-author should be reported. Appropriate credit must always be given when any state, federal, or private funds have been involved.

On the Medical Center campus, an equivalent policy pertains to the above functions and is fulfilled by the Research Office and the Dean for Research, respectively.

H.4 PATENT POLICY

The Kansas University Endowment Association has among its functions the procurement and administration of patents on inventions that have resulted from research conducted at the University of Kansas.

The Board of Regents has established the following policy:

All patents obtained on inventions resulting from institutionally sponsored research shall be assigned to the Kansas University Endowment Association which is independent of the institution but composed of alumni of the institution and other qualified individuals, and created for the purpose of obtaining patents on inventions, administering or disposing of such patents, and promoting research at the institution by every proper means; and that the following regulations shall be followed with respect to patenting inventions:

A staff member who conceives an invention resulting from a research project sponsored by the University, shall present the matter to the Vice Chancellor for Research and Graduate Studies (Lawrence campus) or the Dean for Research (Medical Center campus) who will appoint an advisory committee to study the report and to decide whether the Endowment Association should prosecute a patent application on the invention.

If the advisory committee should decide that the invention does not warrant patenting by the Endowment Association, the inventor will be free to patent it himself. In such a case, however, the University does not relinquish its position that the results of any research should be freely available to the public.

In the event that any sum over and above the cost of obtaining a patent should be obtained by the Endowment Association, the inventor shall be paid a fair share of the profits (at least 15 per cent; in special cases the advisory committee may recommend a larger share). The remainder of any profits shall be used to finance activities of the Endowment Association and to sponsor further research at the University, except that a portion of such funds may be retained by the Endowment Association as a reserve for meeting further expenses.

In the case of cooperative research sponsored in part by an outside agency or individual, a written contract shall be made between the University and the cooperating agency. This contract should include a statement of policy substantially equivalent to that outlined below:

It is agreed by the parties to this contract that all results of experimental work, including inventions, carried on under the direction of the scientific staff of the University, belong to the University and to the public and shall be used and controlled so as to produce the greatest benefit to the public. It is understood and agreed that if patentable inventions grow out of the investigation and such inventions have commercial value, the cooperating agency shall receive preferential consideration as a prospective licensee, with a view to compensating said cooperating agency in part for the assistance rendered in the investigation.

It is further agreed that the name of the University of Kansas shall not be used by the cooperating agency in any advertisement, whether with regard to the cooperative agreement or any other related matter.

Where all research costs, including reasonable overhead, the salary of the investigator, rent on the use of special equipment, etc., are paid by an outside party, he is entitled to have all the patent rights assigned to him. Even so, the University may reserve the right to publish any material it deems to be of fundamental value to science and technology, and it must reserve this right when the research has served as the basis for a student's doctoral dissertation.

The overriding philosophy that prevails in determinations includes concerns that will result in benefits to society, recognition of the inventor or originator, the dissemination of the results of each, the honoring of contractual arrangements with grantors, and assuring the University of current and continued support for its efforts in providing an environment for creative endeavors.

A substantially equivalent policy governs inventions resulting from research administered through the University of Kansas Center for Research, Inc.

The following Patent Agreement shall be signed by members of the faculty and staff of the University whenever required as a condition of appointment, receipt of a research award, or working on a sponsored project.

PATENT AGREEMENT

I, ..., acknowledge, accept and agree to abide by the statement of Patent Policy published in the Handbook for Faculty and

Other Unclassified Staff of the University of Kansas. More specifically, for the effective implementation of that Patent Policy I agree 1) to report promptly, through the Office of the Vice Chancellor for Research and Graduate Studies, all inventions conceived by me in the course of research and related activities at the University; 2) to abide by the decisions of the advisory committee of the University appointed as provided in said Patent Policy; 3) to assist the Kansas University Endowment Association or appropriate Patent Management Firm determined by the University in the prosecution of patent applications on such inventions; 4) to assign to said Endowment Association all right, title, and interest in any patents issued on such inventions. Finally, if I work on a project supported in whole or in part by an external sponsoring agency, I agree to comply with all terms and regulations on patents and inventions prescribed by the agency and accepted by the University.

I further agree that the term "invention" as used in this Agreement means any process, machine, manufacture, composition of matter of design, or any new or useful improvement thereof, and any variety of plant which is or may be patentable under the Patent Laws of the United States.

Date ..... Signature .....

Accepted: .....

The Vice Chancellor for Research and Graduate Studies
The University of Kansas

H.5 RESEARCH, HEALTH, AND SAFETY

Lawrence Campus

The Research, Health and Safety (RHS) group is composed of three components: Advisory Committees on Human Experimentation, Animal Care, and Health Physics-Radiation Sources. Coordination of activities in all three areas is the responsibility of the Office of Research Administration.

The group assists and monitors relevant activities of the faculty, staff, and student population to insure that federal and University regulations are followed in cases which involve experimentation with human beings, all other warm-blooded animals and radioactive materials. The overall jurisdiction of the RHS group extends to all activities of faculty, staff, and students, including research, demonstration, development, instruction, or study, in which any of the above three entities are involved.

a. Human Subjects

The use of human subjects in all activities that are under the purview of any faculty or staff member or student of the Lawrence campus is governed by the following policies and procedures:

The University of Kansas has the responsiblity to insure that experimentation conducted under its auspices does not violate the rights and welfare of human beings as stated under Department of Health, Education and Welfare guidelines. This responsibility extends to all experimental activities, including research, development, demonstration, instruction, or study, in which humans are involved as subjects and in which there is any possibility that harm—physical, psychological or sociological—might befall them. These activities include all modes of experimentation conducted either on or off campus, by faculty, staff, or students, that may induce physical or psychological reactions in the subjects.

The Advisory Committee on Human Experimentation (ACHE) is charged with the foregoing responsibilities. The purpose is to review all experimentation involving humans as subjects and thus to insure that the rights and welfare of the subjects are protected. However, a second purpose is to facilitate research within the University. Therefore, the committee seeks not only to protect the interests of human subjects and of the University, but also to safeguard the interests of the investigators or the individuals responsible for the research. The committee's responsibilities do not cover evaluation of the quality of research, but only evaluation of the adequacy of the protection of the rights and welfare of human subjects in research. Finally, the jurisdiction of ACHE includes all experimental activities involving the rights and welfare of human subjects both at the University of Kansas and elsewhere, when carried out by staff or students of the University of Kansas acting in any capacity related to the institution. Faculty and staff under whose direction students may conduct experiments with human beings are reminded of their responsibility to insure compliance with these policies and procedures. Membership of the committee is determined as follows:

The Advisory Committee on Human Experimentation is appointed by the Vice Chancellor for Research and Graduate Studies. It includes faculty and student members from departments and schools of the University that are engaged in research involving human subjects, as well as a faculty member from the School of Law and a non-University public member from the local community.

Because of the essential function of the committee in the research activities of the University, the operation and maintenance of the committee is supported by the Office of Research Administration.

Before initiating an experiment involving human subjects or submitting an application to a granting agency for support of a proposed experiment, the principal investigator must submit to the committee a statement describing the nature of the involvement of human subjects, the likely hazards to their rights and welfare and the means by which he or she proposes to protect their rights and welfare. The investigator must also indicate the source of financial support (if any).

The Advisory Committee on Human Experimentation has established and will provide guidelines and a standardized application form to assist in the preparation of research proposals for review. Since the committee continuously reviews proposals, applications can be submitted at any time. When the proposal has been *approved* by the committee, the project can be initiated. Alterations of an approved project must be submitted for review and approval.

Written notice of approval, with applicable restrictions, conditions, or reporting requirements, will be sent to the applicant, with information copies to the appropriate chairperson and to the Office of Research Administration. The University's official copies of all approvals and related documents will be maintained by the committee.

Favorable recommendations by the committee are always subject to appropriate review and rejection by institutional officials. Unfavorable recommendations, restrictions, or conditions can be removed by the committee on the basis of further information or by the applicant's appealing the decision to a comparable faculty committee specially appointed by the Executive Vice Chancellor. In addition, complaints or concerns by subjects, colleagues, general public and others are most appropriately directed to the Advisory Committee on Human Experimentation for initial review of the problem. Concerns can also be directed to the Vice Chancellor for Research and Graduate Studies.

Copies of all records, including consent forms completed by subjects, must be maintained permanently in files on the campus by the investigator. These will be accessible at all times for committee audit. All proposals submitted to the committee, actions taken on proposals, reviews of research progress, and minutes of committee meetings, are maintained in a permanent file by the committee.

Questions should be directed to the chairperson of ACHE or to the Office of Research Administration.

b. Animal Care

The use of warm-blooded animals other than man in all activities that are under the purview of any faculty, staff member, or student of the University on the Lawrence campus is governed by the following policies and procedures.

The University of Kansas has the responsibility to insure that experimentation with warm-blooded animals, except man, conducted under its auspices follows the regulations established under the Animal Welfare Act. Use of animals in experiments funded by the Department of Health, Education and Welfare is also subject to DHEW policies and procedures.

The Animal Care Committee is charged to carry out the foregoing responsibilities. It, like ACHE, has a dual role: to review all experimentation involving warm-blooded animals and to facilitate research in the University. Its jurisdiction extends to all experimental activities, including research, development, demonstration, instruction, or study in which warm-blooded animals are used, and which is carried out by faculty, staff or students of the University of Kansas acting in any capacity related to the institution. Membership on the committee is determined as follows:

The Animal Care Committee is appointed by the Vice Chancellor for Research and Graduate Studies and consists of a Doctor of Veterinary Medicine, an Animal Caretaker and faculty members and students concerned with the use of animals in research or instruction.

Faculty, staff or students who use animals in University related activities as defined above must do so under the standards of the Animal Welfare Act; experiments carried out under DHEW support are governed by the guidelines contained in DHEW publication No. (NIH) 72-23. Copies of the latter are available in the Office of Research Administration.

In order to insure that animals are cared for and used humanely and in accordance with all federal, state and University regulations governing animal use, all research, demonstration and teaching projects which involve the use of warm-blooded or cold-blooded vertebrates must be certified by the University Animal Care Committee. In order to expedite approval, all faculty or staff members or students on the Lawrence campus who plan to use vertebrates in some fashion should attach three (3) properly completed copies of the Animal Care and Use Form. Copies can be obtained from the Office of Research Administration or department or division officers. The forms should be submitted with research proposals to the Office of Research Administration two weeks before the application deadline. Proposals will be reviewed promptly; unacceptable proposals for animal care will be returned to the writer, with specific recommendations for improvement. Provisions must be made for proper care of animals on a regular basis including school vacations. Forms for use of animals in teaching and demonstration projects should be submitted two weeks prior to the start of classes.

All animal users, prospective animal users, and animal care personnel can obtain information on animal regulations, sources of animals and supplies, and advice on animal care from the Animal Care Supervisor or the Office of Research Administration.

c. Health Physics—Radiation Sources

The use of radioactive substances in all activities that are under the purview of any faculty or staff member or student of the Lawrence campus is governed by the following policies and procedures:

The Committee on Radiation Sources is responsible for insuring that the University satisfies the licensing requirements and the Radiation Protection Standards of the U.S. Nuclear Regulatory Commission and the State of Kansas, and for safeguarding personnel, installations and general community from hazards arising from work employing radioactive substances and other sources of high energy radiation and particles. The jurisdiction of the Committee extends to all work performed at any location under jurisdiction of the faculty and staff of the Lawrence campus.

The Committee consists of the Director of the Nuclear Reactor Center, a licensed Radiation Safety Officer, the Director of the Student Health Service, and faculty members who are familiar with the use of radiation sources for research, demonstration and teaching purposes. Appointment is by the Vice Chancellor for Research and Graduate Studies.

The policies of the Committee are:

1. **To encourage and facilitate the use of radioactive substances and sources of high energy particles and radiations by qualified University personnel.**
2. **To assist University personnel in obtaining qualifications necessary to use radioactive substances and high energy sources safely.**
3. **To assist personnel in obtaining the use of special facilities and services when these are needed for specific applications of radioactive materials and sources.**
4. **To aid in the development of new laboratories and facilities in which radioactive materials and sources are to be used in teaching and research.**

Among the responsibilities of the committee are the following:

1. To specify adequate and reasonable health and safety regulations, based on official handbooks and publications, and federal and state laws governing the use of radioactive substances and sources.
2. To receive proposals for use of radioactive substances and sources and to approve or disapprove such proposals on the basis of the health and safety aspects only.
3. Through its Radiation Safety Service, to prepare the applications for the Radioactive Material License and carry out such related correspondence as is required and provide assistance in the preparations of other forms of licenses relating to the utilization of radioactive substances and fissionable material controlled by the United States Nuclear Regulatory Commission, the State of Kansas, or foreign governments.
4. To maintain contact, through the Radiation Safety Service, with project supervisors using radioactive substances and sources and to insure that unnecessary hazards are avoided; in compliance with the 10 CFR 20 Standards for Protection Against Radiation, Kansas Radiation Protection Regulations, and the regulations of the committee.
5. To maintain a file of the summaries of inventory records of radioactive substances under the University's jurisdiction and files of all correspondence between the project supervisors and the committee or the Radiation Safety Service.
6. To establish procurement and disposal procedures for all radioactive substances.
7. To the end not only of assuring safeguards to health and safety, but also of guaranteeing continued freedom of research and training from unwarranted increase in radiation background and general contamination, to consult and make recommendations on the location and design of new laboratories and facilities or the modification of existing laboratories and facilities, in which radioactive materials or radiation sources will be used. Failure to adhere to these recommendations may make it necessary for the committee to close such facilities until satisfactory safety standards are met.
8. To provide consultation, advice, and aid in solving problems of health and safety encountered by users in their work with radioactive substances and high energy sources.
9. To review the investigation activities and reports of the Radiation Safety Service.

Approval to use radiation sources may be obtained at two levels, depending on the level of activity of the radiation source. In general the following procedures are applicable. Written proposals for the use of radioactive materials or of sources will be received and reviewed by the committee. To expedite handling, proposals should be sent directly to the committee. Six copies of the proposal should be submitted unless the nuclear reactor will be used, when ten copies are necessary. Proposals will be judged only on matters relating to health, safety, and rights of fellow staff members with respect to levels of background radiation and not on the scientific merit of the proposed research. The proposal will be considered by the entire committee.

Within the jurisdiction of the University, no work may be performed with radioactive materials or sources of any other ionizing radiation without prior approval by the committee. Approval is given only for use as specified in the proposal, to be carried out by, or under the supervision of, a specified investigator in the manner described and submitted to the committee. A significant change in the nature of the project, in the methods described in the proposal, or in the investigating staff will require approval of an amendment to the proposal.

In order to assure itself that the methods and procedures applied in the course of an investigation are in compliance with the

federal, state and University regulations and the conditions stipulated in the NRC or Kansas licenses held by the University, and that adequate measures are effected to protect the health and safety of personnel, the community, and university facilities, the committee or its authorized representative, the Radiation Safety Service, may (1) inspect and monitor facilities, procedures, and personnel, and consult with the supervisor of the investigation regarding changes in safety practices if these are desirable or necessary; (2) specify procedures for disposal of radioactive materials or contaminated equipment; (3) require the supervisor to maintain and to file with the Radiation Safety Service suitable records; (4) require a medical examination of personnel who may have been exposed to hazardous levels of ionizing radiation, or may have been contaminated with radioactive isotopes, the type and extent of the examination to be determined by the Director of the Student Health Services; (5) terminate any work in progress when the committee or the Radiation Safety Service determines that failure to perform proper laboratory procedures has caused undesirable health hazards to personnel or danger of contamination of physical facilities, or has embarrassed the University or endangered the continued possession of its NRC or Kansas licenses.

Questions should be directed to the Radiation Safety Officer or to the Office of Research Administration.

Medical Center Campus

On the Medical Center campus, policies governing various aspects of research, health and safety are established and/or monitored by a series of committees. Coordination of the work of these committees is the responsibility of the Office of the Dean for Research.

These committees are responsible for insuring that federal and University regulations are followed in cases which involve experimentation with human beings, warm-blooded animals and radioactive materials. This responsibility extends to faculty, staff and student activities involving the above named areas including research, demonstration, development, instruction, or study.

a. Human Subjects

The Human Ethics Committee is appointed by the Dean for Research and includes qualified representatives from the major clinical science disciplines, the basic sciences, the social sciences, the clergy, education and the law. The committee is authorized under a separate Statement of Assurance to the Department of Health, Education and Welfare.

This Committee must pass on all research, developmental and/or other activities performed on human subjects outside of those indicated in the regular practice of medicine or the standard performance of class and academic exercises. These requirements apply to any faculty member of the Medical Center campus carrying out activities on human subjects, either here or elsewhere, and to any individual outside of the campus faculty who proposes to use the patient population or other facilities on the Medical Center campus involving human subjects.

The great proportion of proposed projects involve utilization of the patient population or their records, and for that reason the membership of the committee is heavily weighted to include individuals with expertise in evaluating projects in areas of clinical investigation.

A summary of the procedures established by the committee follows. Individuals desiring action on projects involving human subjects should submit a protocol to the Human Ethics Committee at least seven days before the meeting of the committee. The committee regularly meets on the second and fourth Tuesday of each month but will also meet on other Tuesdays as the workload requires. A project should be written in standard form to include background, purpose and aims, methods of procedure, and in particular an outline of additional risks to the subjects. Projects submitted for implementation should also include appropriate master sheets in which details of information to be transmitted to the subject to satisfy requirements for informed consent are outlined, along with appropriate model consent forms. The project write-up should be covered by the properly signed front sheet including the signature of the principal investigator, two peer consultants and the department chairperson. The principal investigator must be a member of the faculty, on either the Medical Center campus or the Lawrence campus. The committee will prepare an action sheet to be returned to the investigator indicating the action of the group on the project, which may include either general approval, specific approval, tabling, or approval with provisos. All major provisos not answered within 30 days will lead to automatic cancellation of any previous approval of the project.

Projects must be recertified at annual intervals, and it will be the function of the Human Ethics Committee to send investigators a summary progress report form applying for recertification. The Committee also maintains a surveillance program which requires affidavits from department chairpersons and investigators at prescribed intervals.

Any instances of non-compliance or questionable activity are transmitted through the Dean for Research to the Executive Vice Chancellor for action. The committee maintains a file on each project, and it is the responsibility of the investigator to maintain a file of required consent forms available for review at any time by appropriate authorities.

Additional information concerning the Human Ethics Committee and its responsibilities is detailed in a policies and procedures manual available through the Research Office.

b. Animal Care

The establishment and monitoring of policies governing the care of warm-blooded animals used in research is the responsibility of the Animal Care Committee. This committee is comprised of five faculty members who use animals in their research or teaching and who are elected by the faculty of the College of Health Sciences. Additional committee members include one member of the Research Committee appointed annually by its chairperson, one graduate student and the Dean for Research. The Director of the Animal Care Unit, who is a full-time Doctor of Veterinary Medicine, serves as an *ad hoc* member of this committee.

The Animal Care Committee must insure compliance with the regulations of the Animal Welfare Act of 1966, as amended in 1970, and of the regulations of the Department of Health, Education and Welfare for research funded by DHEW.

The Animal Care Committee is responsible for all animals housed in Medical Center facilities, periodically inspects these facilities, and reports its findings and recommendations to the institution's responsible officials. These evaluation reports are filed at least once a year.

Information regarding the requirements of the Animal Welfare Act or the guidelines of DHEW may be obtained from the Director of the Animal Care Unit in Wahl Hall East. Such contact is suggested at any time of need, but is especially recommended *prior* to the submission of grant applications for research involving warm-blooded animals.

c. Health Physics—Radiation Sources

The University of Kansas Medical Center has been authorized by the State of Kansas to procure and use radioactive materials for human and non-human use under a license issued by the Radiation Control Section of the Kansas Department of Health and Environment. This license is contingent upon the existence of a Radiation Safety Committee, appointed by the Dean for Research on behalf of the Executive Vice Chancellor, and a Radiation Safety Officer who, among other requirements, must:

Assure that any investigator using radioactive materials is qualified by training and experience to use safely the radionuclide proposed, has the facilities to handle the materials safely, and proposes a use which is safe to all concerned.

Assure observance of all radiation safety standards established by the Radiation Safety Committee and the Kansas Department of Health and Environment.
Keep records of the receipt, storage, use, transfer, and ultimate disposal of all radioactive materials used at the University of Kansas Medical Center.
Keep records of the monitoring of personnel and areas involved in the use of radioactive materials.

It is the Radiation Safety Committee's policy to encourage and promote the safe use of radiation at the Medical Center. To this end, the radiation safety program has been designed to help investigators with any problems which may arise from the use of radiation. The program relieves the individual investigator of the time-consuming work of obtaining an individual state license, interpreting complex radiation regulations, and keeping extensive records. The program also provides the radiation worker with most of the services necessary for compliance with state and federal radiation safety standards. The Radiation Safety Committee's operational policy places the ultimate responsibility for radiation safety on the principal investigators. These individuals can most effectively satisfy their responsibilities by adhering to this guide and by requesting assistance from the Health Physics Office when there are questions or problems.

The Radiation Safety Committee also has the responsibility for controlling the use of radiation producing equipment, e.g., X-ray machines, electron microscopes, etc. Persons desiring to use radiation producing equipment must be deemed qualified to use and operate such equipment by the Radiation Safety Committee.

The Radiation Safety Officer has been given the authority by the Radiation Safety Committee to require the cessation of any project where unsafe practices involving the use of radiation are occurring and where practices in violation of established regulations are observed until a review by the Radiation Safety Committee can be made.

The Health Physics Section has the institutional responsibility of performing operational radiation safety and of advising individuals or groups who wish to use radioactive material as to different aspects of radiation safety, detection equipment, and laboratory procedures. The duties of the Health Physics Section are carried out by the Radiation Safety Officer and the Health Physicist.

The University of Kansas Medical Center is subject to periodic inspections by the Kansas Department of Health and Environment to insure that all licensure requirements are being met. These inspections are comprehensive and include radiation monitoring checks of laboratory areas, inspection or procurement and waste disposal records, and records of the qualifications of individual users. Violation of licensure requirements could result in the loss of license.

A second committee, the Radioactive Drug Research Committee, is charged with the responsibility of monitoring research projects involving the use of radioactive drugs and radioactive biological products. This committee is appointed by the Dean for Research on behalf of the Executive Vice Chancellor. This newly formed committee is specifically charged with the responsibility of assuring compliance with the regulations of the Food and Drug Administration of the Department of Health, Education, and Welfare.

The membership of the Radioactive Drug Research Committee is the same as that of the Radiation Safety Committee.

Additional information is detailed in the *Radiation Safety Guide* and other printed materials available from the Health Physics office.

H.6 RESEARCH AIDS

Lawrence Campus

Research Administration. The facilitative and review services of the Office of Research Administration (ORA) are available to faculty and staff members for research use. Among the services provided by ORA are planning and review of proposals and information on health and related services which include animal care, human experimentation and health physics-radiation sources, and information on translation services on campus. Similar services, with limited proposal production assistance, are available through the University of Kansas Center for Research, Inc., for faculty members in the School of Engineering.

Research Opportunities. The *RESEARCH Newsletter,* notices in the *Faculty and Staff Newsletter,* memoranda directed to deans, directors of divisions, faculty chairpersons, and interested faculty, distributed by the Office provide information on potential funding sources, both public and private, for sponsored research and training projects.

Administrative Manual. The *Administrative Manual* for research issued by the Office provides further guidelines on University policy and procedures dealing with application for and management of sponsored projects.

Computer Service. Computer services are available to faculty and staff with individual accounts managed by the several departments. Projects funded by non-state sources are expected to provide full funding for their computer costs. Investigators are cautioned, however, to check with the Computation Center or the Office of Research Administration for current rates on services; these should be determined prior to submission of any proposal.

Duplication Services. Reproduction and photocopying are available at the Photographic Services office. Photocopying services are also available throughout the campus; for information contact Library personnel.

Graphics. Graphs, charts, diagrams and maps will be prepared at cost by the Cartography Division of the Geography/Meteorology Department located in Lindley Hall.

Bibliographic Searches. Searches of certain categories of material are also available through the Institute for Social and Environmental Studies (ISES), the National Technical Information Service (NTIS), and the Environmental Protection Agency (EPA). The Office of Administrative and Instructional Development Services (AIDS) of the School of Education can provide assistance in identifying research support services available in that school.

Facilities Consultation. Those faculty members who are conducting research in the biological sciences may call upon the services of the Enzyme Laboratory for aid or consultation. The laboratory is equipped to purify and characterize enzymes and other important naturally occurring substances and to investigate the interaction of enzymes with substrates and inhibitors. Those faculty members encountering problems of design or construction of instrumentation for research or instruction may seek assistance from the Electronic Design Laboratory through the Department of Chemistry. Investigators who plan to purchase television equipment for use in sponsored projects should contact the Instructional Television Office of the Office of Instructional Resources; if this task is performed at the outset of research, television equipment which is compatible with that already on campus may be purchased.

University General Research Funds. The University through the Office of the Vice Chancellor for Research and Graduate Studies administers separate research funds specifically appropriated by the Legislature. Each year the Faculty Senate Research Committee invites applications for awards. The committee reviews and evaluates those it receives and makes recommendations for awards; these may include new faculty awards for faculty members who join the staff of the University in the fall. Policies and procedures of the committee are announced periodically to the faculty. The committee's Small Grants Subcommittee also distributes limited research funds to faculty members for short-term research costs.

Graduate Student Travel Funds. The Graduate School distributes limited funds for graduate student travel required for doctoral dissertation research.

Improvement of Instruction Funds. The Committee for the Evaluation and Improvement of Instruction, under the direction of the Office of Instructional Resources, allocates funds based on proposals submitted by faculty and staff for innovative projects in education and their implementation on the Lawrence campus.

Equipment Funds. Legislative appropriations occasionally provide equipment funds for departmental use.

Graduate Faculty Travel Funds. The Graduate School maintains a travel fund for Graduate Faculty members who participate in learned society meetings. (See Faculty Travel to Meetings of Learned Societies.)

Biomedical Sciences Support Grant. A Biomedical Sciences Support Grant is administered by a local committee. Investigators who wish to explore possibilities of obtaining funds from this source should contact the Office of Research Administration.

Medical Center Campus

The Research Office regularly disseminates information on potential public and private funding sources for sponsored research and training projects to department chairpersons, faculty members, and other interested staff. The Dean for Research coordinates the various committees concerned with reviewing and/or establishing policies governing research activities. The Research Office serves as a clearinghouse for information relative to ongoing research at the Medical Center, to institutional research facilities and equipment, and to research personnel at all levels.

Additional assistance for faculty researchers is provided by Computer Services and the Department of Biometry. Included are programming support, keypunch facilities, and other assistance in processing jobs. Consultation is also available in the Department of Biometry for research design and statistical applications. Investigators are directed to Computer Services and/or the Department of Biometry for detailed information about these services and current fee schedules. Contact with these sources of assistance is appropriate at any time but is especially urged during the proposal development stage.

I. GENERAL POLICIES AND PROCEDURES

1. Academic Freedom
2. Affirmative Action
3. Campus Speakers
4. Conflict of Interest
   a. Conflict Situations
   b. Standards of Conduct
   c. University Procedures
   d. State Regulations
5. Consulting and Outside Work
6. Human Rights
7. Political Activity
8. Lobbying Regulations
9. Alcohol Regulations
10. Smoking Regulations

I.1 ACADEMIC FREEDOM

The University of Kansas has a long tradition of dedication to the principles of academic freedom and has sought to implement these principles as they are embodied in the 1940 "Statement of Principles on Academic Freedom and Tenure" of the American Association of University Professors and the American Association of Colleges. The University's position on academic freedom is therefore fully reflected by the following paragraphs from the AAUP statement:

The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his other academic duties. . . .

The teacher is entitled to freedom in the classroom in discussing his subject, but he should be careful not to introduce into his teaching controversial matter which has no relation to his subject. . . .

The . . . university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he speaks or writes as a citizen, he should be free from institutional censorship or discipline, but his special position in the community imposes special obligations. As a man of learning and an educational officer, he should remember that the public may judge his profession and his institution by his utterances. Hence he should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he is not an institutional spokesman.

The following regulation on academic freedom and campus disruption was adopted by the Board of Regents on June 19, 1970:

WHEREAS, the Members of the State Board of Regents recognize that academic freedom is a necessary adjunct of higher education in the State of Kansas, and,

WHEREAS, academic freedom includes not only the right of dissent, but also the freedom to pursue academic aims by all segments of our colleges and universities, and,

WHEREAS, small numbers of the student bodies and/or employees of Kansas state colleges and universities are pursuing activities deliberately designed to, and which do, disrupt regularly scheduled activities of said institutions, and,

WHEREAS, disciplinary boards organized to provide student and faculty review of disruptive actions are, at times, harassed and delayed in conducting said reviews, and,

WHEREAS, the interest of citizens and taxpayers of the State and of the majority of students and faculty is detrimentally affected.

NOW, THEREFORE,

BE IT RESOLVED, by the State Board of Regents that the chief administrative officer of each of the state universities and colleges be and they are hereby directed to immediately suspend any employee, faculty member or student of said institution where said student, faculty member or employee is engaging in activities deliberately designed to, and which do, disrupt the normal and ordinary process of education and training offered by said institutions, said suspension to remain in effect pending such procedural steps as may be required under the rules and regulations of the state institutions and the laws of the State of Kansas. The heads of the state institutions shall take such action as is necessary to stop such activities.

BE IT FURTHER RESOLVED, that this action not be considered as limiting any authority of said chief administrative officers in the performance of their duties.

I.2 AFFIRMATIVE ACTION

In March 1973, the Chancellor approved an Affirmative Action Plan for the Lawrence campus of the University of Kansas. This plan, currently being revised, establishes policies and procedures designed to prevent discrimination on the basis of race, sex, religion, country of national origin, or irrelevant disability. It provides for affirmative action steps to recruit, train, and improve the status of women, minorities, and persons with disabilities at the University. In addition to sections on students and classified personnel, the plan contains a section on faculty, administrators and other unclassified staff which establishes policies on recruitment and selection, tenure and promotions, terminations, and leaves of absence. The University also has an affirmative action complaint procedure through which aggrieved parties may pursue discrimination grievances. Copies of the Affirmative Action Plan are available in the Office of Affirmative Action.

A separate Affirmative Action Plan for the Medical Center campus was approved by the Chancellor in August 1972. Copies of this plan are available in the Office of the Assistant Vice Chancellor for Affirmative Action.

I.3 CAMPUS SPEAKERS

The University Senate adopted the following policy statement on May 14, 1963:

Free trade in ideas is the fundamental operating principle of our democratic society. It would be expected, therefore, that every educational institution would support that principle. Such support, while only to be expected of educational institutions generally, becomes, however, in the case of the University of Kansas, mandatory. Precisely because the University is a public educational institution, a branch of the organized political force of a democratic society, it is incumbent on the University not merely to support but indeed to foster the fundamental principles of that society. So the University of Kansas must, at all times, make of itself a competitive market place for the free interchange of ideas.

The assembly places of the University must, therefore, be open to any properly invited speaker who comes to persuade by the expression of ideas. Only the speaker who would use the free expression of ideas in such a manner as to incite to immediate riot or rebellion could reasonably be excluded.

. . . . .

In opening its doors to any performer or speaker thus sponsored, the University in no way places any official stamp of approval on the quality of the performance or the reasonableness of the ideas expressed. Since, however, the University will be inevitably associated with that quality of performance or reasonableness of ideas, the University should be able to expect that the freedom of the sponsoring agency will be accompanied, as any freedom must, by a corresponding responsibility, to the end that the University will not be made a refuge for intentional violators of public or private law.

Over the years, the University of Kansas has generally operated in accordance with the principles stated above and, thereby, provided a setting for a wide variety of voluntary and officially sponsored forums, speeches, and performances. It is the hope of the Senate that affirmation of these principles may further strengthen the University's zealous dedication to them for the future.

I.4 CONFLICT OF INTEREST

The increasingly necessary and complex relationships among universities, government, and industry call for more intensive attention to standards of procedures and conduct. The clarification and application of such standards must be designed to serve the purposes and needs of the University's proper activities and the public interest involved in them and to protect the integrity of the cooperating institutions as agencies of higher education.

Consulting relationships between University staff members and industry serve the interests of research and education in the University. Likewise, the transfer of technical knowledge and skill from the University to industry contributes to technological advance. Such relationships are desirable, but certain potential hazards should be recognized.

a. Conflict Situations

Favoring of outside interests.

When a University staff member (administrator, faculty member, professional staff member, or other employee) has a significant financial interest in, or consulting arrangement with, a private business concern, it is important to avoid actual or apparent conflicts of interest between the staff member's University obligations and his or her outside interests and other obligations.

Situations in or from which conflicts of interest may arise are the:

1. Undertaking of orientation of the staff member's University research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the University and, if the research is sponsored, to the sponsoring agency;
2. Purchase of major equipment, instruments, materials, or other items for University research from the private firm in which the staff member has an interest without disclosure of such interest;
3. Transmission to the private firm or other use for personal gain of work products, results, materials, records, or information that are not made generally available (this would not necessarily preclude appropriate licensing arrangements for inventions, or consulting on the basis of research results where there is significant work by the staff member);
4. Use for personal gain or other unauthorized use of privileged information acquired in connection with the staff member's activities (the term "privileged information" includes, but is not limited to, medical, personnel, or security records of individuals; anticipated material requirements or price actions; possible new sites for a sponsor's operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements);
5. Negotiation or influence upon the negotiation of University contracts relating to the staff member's or a colleague's externally-sponsored research, in which the second party is an organization with which the staff member has consulting or other significant relationships;
6. Acceptance of gratuities or special favors from private organizations with which the University does or may conduct business, or extension of gratuities or special favors to employees of a sponsoring external agency, under circumstances which might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties.

Distribution of effort. There are competing demands on the energies of a staff member (for example, research, teaching, committee work, outside consulting). The way in which the staff member divides his or her effort among these various functions does not normally raise ethical questions unless a sponsoring agency supporting the research is misled in its understanding of the amount of intellectual effort the staff member is actually devoting to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of a faculty member, since the various functions he or she performs are closely interrelated and do not conform to any meaningful division of a standard week. On the other hand, a demonstrated relationship between committed responsibility and actual effort should be documented.

If a research agreement contemplates that a staff member will devote a certain fraction of effort to the externally-sponsored research, or the staff member agrees to assume responsibility in relation to such research, a demonstrable relationship between the indicated effort or responsibility and the actual extent of his or her involvement is to be expected.

Consulting for government agencies or their contractors.

When a staff member serves as a consultant to a Federal agency, his or her conduct is subject to the provisions of the Conflict of Interest Statutes (18 U.S.C. 202-209 as amended) and the President's Memorandum of May 2, 1963, "Preventing Conflicts of Interest on the Part of Special Government Employees." When the staff member consults for one or more external contractors, or prospective contractors, in the same technical field as his or her research project, care must be taken to avoid giving advice that may be of questionable objectivity because of its possible bearing on his or her other interests. In undertaking and performing consulting services, the staff member should make full disclosure of interests to the University and to the contractor insofar as they may appear to relate to his or her work at the University or for the contractor.

Conflict of interest problems could arise, for example, in the participation of a staff member of the University in an evaluation for the external agency or its contractor of some technical aspect of the work for another organization with which the staff member had a consulting or employment relationship or a significant financial interest, or in an evaluation of a competitor to such other organization.

b. Standards of Conduct

Basic Statement

Every person who holds a position in the University, or on an externally-sponsored research project, or as a consultant or adviser to an external agency, shall refrain from any use whatsoever of that position or the information, privileges or influence it may provide, which is motivated by, or even apparently motivated by, the desire for private gain or advantage for himself or herself, or for other persons, institutions, or corporations with which he or she has family, professional, business, or financial connections.

Limitations

The application of the standards expressed and implied in all parts of the preceding statement will be accomplished in a manner that does not infringe on the legitimate freedoms and flexibility of action of the University and its staff members that have traditionally characterized a university.

c. University Procedures

Reporting of outside employment or interests. A faculty or staff member is permitted to engage in a reasonable amount of consultation or other work, or to have business interests, outside the University, provided that such activities do not interfere with his or her University responsibilities. The faculty or staff member must report in writing any such arrangement, activity, or interest as prescribed in the section on Consulting and Outside Work.

Time or effort reports on research projects. Staff members engaged on sponsored research projects usually commit themselves to devote specified time or effort to their projects. For some grants or contracts the standard University appointment form suffices to demonstrate satisfaction of the obligation. For others such as grants from the National Institutes of Health, explicit periodic Time or Effort Reports are required by the sponsor. All staff members concerned in such projects must submit the required reports promptly and regularly in a form and on a schedule specified by the Research Accounting Office.

Reporting of inventions. Inventions made by University staff members usually involve contributions by, and consequent interests of, the inventor, the University and perhaps an outside research sponsor. To protect the rights of all three parties, and to avoid possible conflict of interest in a patent situation, prompt reporting and action are necessary. Any staff member who conceives an invention in the course of research conducted at the University shall promptly report the invention to the Vice Chancellor for Research and Graduate Studies in Lawrence or the Dean for Research in the Medical Center. The Vice Chancellor or the Dean in turn will appoint an Advisory Committee to study

the report and decide whether the University, through the Endowment Association as its designated agent, shall submit a patent application, or what alternative action shall be taken. The allocation of patent rights and division of proceeds, if any, shall be consistent with the Patent Policy laid down by the Board of Regents and the terms of any relevant research grant or contract. (See Patent Policy.)

Advice and consultation. The University provides advice and guidance on a limited basis, through the Offices of Research Administration and the University General Counsel, to its staff members for advance consultation on questions they wish to raise concerning the problems that may or do develop as a result of their outside financial or consulting interests, or as they relate to their participation in government-sponsored University research.

d. State Regulations

All employees of the University are subject to the provisions of state law on Conflict of Interests embodied in K.S.A. 75-4301 *et seq.*

I.5 CONSULTING AND OUTSIDE WORK

The University has adopted the following policy on consulting and outside work, which incorporates and provides additional clarification and procedural guidelines for the Board of Regents policy on consulting and outside work adopted in September 1974.

The University expects members of the University community (faculty, staff and students) employed by the University to give full professional effort to their assignments of teaching, research and service. It is, therefore, considered inappropriate to engage in gainful employment outside the University that is incompatible with University commitments. Moreover, it is considered inappropriate to transact substantial personal business unrelated to the University from one's University office, when it might interfere with commitments to the University.

The University also expects members of its faculty* to pursue continual scholarly development and renewal, and to share their professional capabilities for the common interest; the University recognizes that consulting activities may provide good opportunities toward these ends. For members of the faculty, therefore, the University permits and, indeed, encourages a reasonable amount of personal professional activity† outside the faculty member's reasonably construed total professonal responsibilities of his or her employment by and for the University, provided such activity: (a) further develops the faculty member in a professional sense or serves the community, state, or nation in a professional capacity (b) does not interfere with the faculty member's teaching, research and service to the University; and (c) is consistent with the objectives of the University. Regular instructional service‡ to other educational institutions is regarded as an inappropriate personal professional activity, but such shared instructional service may be negotiated by the faculty member and the chief academic administrative officers of the two institutions.

Within these limits, the University shall govern the allowable amount of such outside professional activity.

The faculty member must inform his or her respective Executive Vice Chancellor, through the department chairperson, the dean or director and the appropriate vice chancellor, who shall add their endorsement and/or such other comments to the report, of all personal professional activities. For all such activities except those single-occasion activities specified below, the faculty member must report in writing the proposed arrangements and secure approval prior to engaging in the activities.§ Those activities which involve only a single occasion,|| are clearly of a scholarly, professional or technical nature, rather than commercial, and in which compensation is not the primary consideration, must be reported annually in writing by the faculty members. For all activities concerned, the report should indicate the extent and nature of the activities, the amount of time to be spent in the activities, and the total amount of time spent or expected to be spent on all such outside activities during that current academic year.

In the event that outside personal professional activities require the use of customarily priceable University materials, facilities, or services, the faculty member is expected to make arrangements for reimbursement.

University policies on conflict of interest must be observed in arranging and conducting outside personal professional activities.

During periods when a faculty member is not on the University payroll (e.g., in summer or when on leave without pay), University limitations on the amount of outside professional activity do not apply, nor do University regulations on reporting such activity. Regulations on the use of University offices, materials, facilities and services, and conflict of interest policies are applicable during such periods. It is expected that in these circumstances the same criteria of acceptability of outside activity will be applied by the faculty member as by the University otherwise.

Additional rules and procedures for personal professional activity may be established by the several schools and divisions of the University. Such additional rules and procedures shall be reported through channels and filed in the Office of the Executive Vice Chancellor on each campus.

I.6 HUMAN RIGHTS

A formal statement of the University's commitment to the furtherance of human rights was adopted by the University Senate on May 11, 1965. As amended on February 19, 1970, this statement reads as follows:

The University of Kansas, recognizing essential human dignity and the equality of all men, is dedicated to the principle that all benefits, privileges, and opportunities afforded by the University shall be accorded each person—student, faculty member, or employe—according to . . . individual merits, accomplishments, and needs, and that no rights or benefits shall be denied to anyone by reason of race or creed or by reason of sex unless sex is a bonafide qualificaton. Furthermore, the University is pledged to the establishment of procedures necessary to ensure that no violation of these principles shall be present in its affairs and in keeping with the proud heritage of Kansas as a free state, the University of Kansas will lead the way in promoting equality of opportunity in every form.

In amplification of the original policy statement, this directive was issued by the Chancellor on November 24, 1969:

This statement covers all areas of University activity. When groups of students are taken to other communities to speak, to perform, or to participate in any University-related activity, the school, department, or division involved must ascertain before accepting any such engagement that students will be treated with equal consideration in housing, meals, and every other aspect of the visitation. In case of any doubt written assurance must be obtained from the community visited that the University's principles will be honored.

---

* Faculty is here interpreted as teaching faculty and faculty-equivalent persons.

† Personal professional activity here means such outside activity closely related in nature to those professional activities which constitute the faculty member's normal employment responsibility. Thus would be included consulting on the preparation of contract legislation by a professor of contract law, but not his after-hours folksinging; geochemical, engineering, industrial and similar consulting or review of related manuscripts by a research associate in the Geological Survey, but not his outside activity as a photographer of wild plants and author of essays about them; or consulting on the preservation, interpretation and publication of archival materials by a professor of history, but not his consulting, as an independent experienced expert, on the financial management of retail stores. The University does not wish to intrude on the personal and private affairs of its faculty whose rights are those of all citizens, but rather to protect them and itself from abuses and charges of abuse of the employment relationships of responsible scholars and professionals.

‡ Regular instructional service here would not include occasional short courses, workshops, lecture series and the like, but would include courses, or contributions to courses, regularly scheduled in an institution's program, normally over a full semester or term.

§ Faculty members may presume their proposed activities are approved if they are not explicitly informed to the contrary within fifteen days after submission of the report to the chairperson.

|| A single occasion might be, for example, a single visit, telephone conversation, manuscript for review, or written response to a request for assistance. An arrangement for a series of consulting visits, or for a two-week block of consulting, or to review manuscripts regularly (or irregularly) submitted by a publisher, would not be considered a single occasion.

I.7 POLITICAL ACTIVITY

The Board of Regents has adopted the following statement of Policies and Procedures on Political Activity:

Faculty, administrators and other unclassified personnel are eligible to accept any public or political party position which does not involve any conflict of interest and does not require substantial time away from assigned duties or in other respects infringe upon them. Such eligibility covers membership on a city commission, school board, planning group, and county, state and national party committees and like organizations, by either appointment or election.

The filing of a declaration of intent to become a candidate shall not affect the status or appointment of an unclassified member of a college or university staff; provided, however, such person at all times while a candidate shall properly and fully perform all of his or her assigned duties; provided further, however, that should such person while he or she is a candidate for office fail to perform all of his or her assigned duties, such person shall not receive any salary or benefits from the date of filing for office.

Leave without salary or other benefits will be granted to those elected or appointed to public office requiring full time or lengthy sustained periods away from assigned duties, such as Congress, the State Legislature, and state and county offices or appointments to office falling within this category; effective, as to a person elected or appointed to Congress or the State Legislature, from the date such person takes the Oath of Office and continuing until the adjournment of Congress or the adjournment sine die of each session of the State Legislature; effective, as to other state and county offices, during the entire time a person serves as such officer.

In the interest of the fullest participation in public affairs, the same personnel is free to express opinions speaking or writing as an individual in signed advertisements, pamphlets and related material in support of or opposition to parties and causes. There will be the commensurate responsibility of making plain that each person so doing is acting for himself and not in behalf of an institution supported by tax funds drawn from citizens of varying political and economic views.

I.8 LOBBYING REGULATIONS

Recently enacted legislation considerably tightens state control over lobbying activities. Any faculty efforts to support or oppose either legislation or regulatory action which tie the identity of the faculty member to the University should only be carried out after consultation with the General Counsel's office. All expenditures made to entertain, or otherwise influence, legislators or other state officials should be reported before the fact to the University's registered agent (currently the Director of the Alumni Association) and to the Chancellor's Office.

I.9 ALCOHOL REGULATIONS

Consumption of alcoholic liquor on state property is prohibited by state law. However, there is no prohibition against the possession of alcohol, i.e. liquor, on state property; nor is there any prohibition in state law against either the possession or consumption of cereal malt beverage (3.2% beer) on state property. The Board of Regents has delegated to the University the regulation of the consumption of 3.2% beer. University policy prohibits consumption of 3.2% beer in educational buildings, and restricts sale to designated places within the Student Union.

I.10 SMOKING REGULATIONS

Lawrence Campus

The official policy on smoking in nonresidential buildings on the Lawrence campus was developed as a result of the action of the University Council on February 28, 1974. The policy approved by the Chancellor is as follows:

Smoking shall be permitted only in:

1. **Offices**
2. **Corridors and restrooms not covered with carpeting**
3. **Areas set aside for food service and food consumption, except those designated as non-smoking areas**
4. **Seminar rooms, provided no member of the seminar voices objection, and provided further that adequate ash and butt receptacles are available.**

On September 22, 1975, the Executive Vice Chancellor issued the following statements in order to clarify some aspects of this policy:

1. Smoking is not permitted in Hoch Auditorium, Wescoe auditoriums and the other auditoriums on campus during any classes or public assemblies. For Hoch Auditorium, of course, the safety factor is a major consideration. Smoking in these areas is permitted only in the "outer lobbies."
2. For Allen Field House, smoking is permitted only in the outer lobby areas.
3. In classrooms, smoking is not permitted under any circumstances, except as delineated in item (4) below.
4. Smoking is permitted in small classes and seminars (under 15 in enrollment) provided that no member of the seminar voices objection and provided that adequate ashtrays are available and used.

All members of the University community are expected to observe this policy and to respect the rights of non-smokers as well as the rights of smokers.

Medical Center Campus

Non-smoking areas are so designated in Medical Center buildings. Smoking is not permitted in auditoriums (Wahl Hall East Auditorium, Wahl Hall West Auditorium, Sudler Clinic Auditorium, Battenfeld Auditorium), in most other classrooms and teaching laboratories, in designated areas of the library, and in most areas where patients are administered direct medical or surgical treatment. The sale of cigarettes or other smoking materials is expressly prohibited in Medical Center buildings.

APPENDIX
Lawrence Campus

I. Guidelines and Criteria for Tenure and Promotion

II. Procedures for Recommendation for Promotion, Award of Tenure, Notice of Non-Reappointment

III. Procedures for Cases Involving Academic Freedom and Tenure

IV. Selection, Appointment, Tenure and Review of Vice Chancellors, Deans, Directors and Chairpersons

I. GUIDELINES AND CRITERIA FOR TENURE AND PROMOTION (Revised 1974)
(Official Policy Approved by the Chancellor)

The University of Kansas was established by the citizens of the State of Kansas to provide a distinguished institution of higher learning for its people. Over the years, the University has established a reputation for excellence in teaching, in scholarship, and in service to the people of the State of Kansas and the United States. This excellence is based in part upon a continual stream of exceptional students who have won an enviable record of accomplishment in earning awards for scholastic achievement. Ultimately, however, the excellence and reputation of the University depend directly upon the quality of its faculty.

The awarding of tenure to a faculty member is the most critical point in the process of selection and reward for achievement that maintains and improves the quality of the faculty. The review of candidates for tenured appointments, beginning at the departmental level and moving through channels to the University level, must at all levels be careful, deliberate, and searching if the standard of excellence to which we aspire is to be attained. The same considerations apply to recommendations for promotion in rank, especially those which normally lead to a tenured appointment.

The criteria for tenure and promotion traditionally have been and continue to be teaching, research, and service. The award of tenure must take into account any prior service credited but will be based largely on evidence of achievement since joining the faculty. Promotion to a new rank must be based principally upon evidence of achievement since the last promotion, or for a person's first promotion, since the initial appointment to the faculty.

Teaching is a prime responsibility of the University. For promotion to a higher professorial rank evidence of effective teaching must be furnished. This evidence may take several forms. Both peer and student evaluations are desirable. Departments, or schools where departments do not exist, should provide a standard set of procedures to evaluate teaching to ensure an equitable and substantive review process. Individuals in the same field should be evaluated by the same means. However, no specific format or instrument is prescribed at the university level. Good teaching requires continual application and effort. The teacher must keep abreast of new developments in his or her field and related fields, and must maintain credentials as a scholar so that he or she is part of the creative process by which the frontiers of knowledge are continually being expanded. The teacher should be enthusiastic about the particular discipline and should be able to communicate this enthusiasm to the students, thus stimulating both the teacher and the students to greater achievement. The University prides itself on having exceptional teachers whose merit and service to the University earn them a well-deserved place of honor and respect in our institution. But this criterion alone, to the exclusion of consideration of the other criteria, does not serve as a basis for promotion or tenure.

Research and scholarship have several purposes for the teacher. They help maintain the competence of the teacher in the discipline. They are a service to the profession and to society. A teacher's accomplishments and contributions as a scholar bring vital recognition to the University as well as to the individual. The University exists to create, preserve and transmit knowledge. The creative process—scholarly productivity—is an integral and indispensable part of the University as an educational institution. As has already been noted, promotion in professorial rank is a testimony and recognition of professional competency and productivity. The standards for measuring scholarly and creative productivity cannot be applied uniformly throughout the University. In many areas, the evidence for competence is the research conducted by the teacher, the results of which are submitted for professional evaluation, review, and criticism to peers through recognized media. In those areas, publication in refereed journals and in books is the most significant measure of scholarly productivity. Publication in in-house media and non-refereed journals is also valued but does not carry as much weight. Competitive awards and grants from agencies of national standing are another useful index of an individual's success in obtaining recognition for research. Scholarly production can also take the form of preparation of published reports, studies, and other material for governmental agencies and non-governmental organizations concerned with the operation, evaluation or improvement of the discipline. Participation in symposia, conferences and professional meetings is another outlet for publicizing and testing the results of one's research. The presentation of papers often lacks the formal review procedure and critical response provided by publications, and in those cases such activity is not sufficient in itself as evidence of scholarly productivity.

In the creative and performing arts, peer review and recognition through exhibitions, concerts, prizes, awards, set a similar kind of standard to the kind of recognition another faculty member will achieve through publication in a prestigious national or international journal. Members of professional or practitioner-oriented disciplines share scholarly obligations with the rest of the faculty. However, in cases where administrative or clinical responsibilities involve a disproportionate amount of the candidate's time, the required extent of written scholarship may be modified. Some measure of scholarly productivity may also be demonstrated by patents in the area of professional competence and documented results of professional consulting or advice in the practice of the profession being taught, but these activities are insufficient of themselves.

In terms of research, award of tenure, promotion to assistant professor, or promotion to associate professor should be based on sufficient evidence of scholarly productivity to document a successfully developing career. For promotion to full professor evidence must be conclusive that this objective has been realized; consequently, the record of scholarly and creative productivity should be substantially greater than that expected at the lower ranks. Continuing productivity after the completion of the dissertation, from the time of one's formal entry into a professional academic career, is expected. As in the case of service and teaching, excellence in research alone is not sufficient to insure promotion.

Service is of several kinds. Intramural service, such as advising, is expected of every faculty member. It is a part of being a good citizen and participating member in the community—in this

instance the academic community. Professionally related extramural activities in professional organizations and in public bodies, are an important means of bringing prestige to the University. Such service is to be encouraged and recognized. It adds to the professional competence of the individual, provides contact with a larger circle of peers, and in turn makes possible greater visibility for the University. "Outreach" activities are not necessarily restricted to service but may contribute to any of the areas of faculty endeavor. As with teaching and scholarship, service must be evaluated as to quality as well as quantity, with respect to its contribution to the University and the better performance of its mission.

One other form of service must be singled out. Promotion up through the professorial ranks is a recognition of professional achievement. Administration is an essential part of our well-being and therefore administrative service is another kind of contribution a faculty member may make to the University. Administrators, however, must meet the standards of academic excellence. Neither service nor administrative duties alone shall serve as a basis for promotion.

There are no rigid standards for the length of time in grade between promotions. In most fields, it is normally expected that two to six years should elapse between promotion from instructor to assistant professor, four to six years between appointment as an assistant professor and promotion to associate professor, and five or six years from associate professor to full professor. Promotion at the end of these periods is based upon the candidate's meeting the criteria enumerated above. A recommendation for promotion earlier than customary must include evidence of truly exceptional merit. The word exceptional is not suggested lightly because it is presumed that a promotion at the end of a normal term of service in rank is based upon meeting the criteria in more than just a satisfactory manner, but rather by some common standard of excellence. It is conceivable that an individual with a satisfactory record in one of the enumerated criteria but without a complementary record in the other criteria will remain in grade longer than the norm, if not indefinitely.

The criteria are intended to be defined in such a way that their fulfillment gives the higher ranks dignity and stature and will identify promotion as an acknowledgement of professional accomplishment in one's discipline. The added prestige and recognition that promotion and tenured status based upon such standards confers on an individual is highly beneficial, indeed essential to the morale and lustre of our faculty and University. Promotion and tenure are never automatic for a faculty member. They must be earned.

II. PROCEDURES FOR RECOMMENDATIONS FOR PROMOTION, AWARD OF TENURE, NOTICE OF NON-REAPPOINTMENT

Article VI.

Section 1. Promotion.

6.1.1 In the fall of each year, a committee or committees within each department (unless the context otherwise requires, the word "department" shall be read as "school" where a school has no departmental organization) shall review the qualifications and performance of all members of its faculty below the rank of full professor, excepting only those joined or promoted that year, with a view toward possible advancement in academic rank. The committees, and their procedures, shall be established in accordance with the decision-making procedures of the department on file with the Secretary of the Faculty Senate. All members of the faculty subject to review shall be informed that the review is to be undertaken and shall be advised that they are entitled to submit materials to substantiate their qualifications. The decision concerning the faculty member which results from the review shall be officially communicated to the faculty member in a personal interview. The decision, and the reasons for that decision, shall also be officially communicated in writing if requested by the faculty member. Each department shall make known to its faculty the criteria for evaluation (which need not be identical in all departments), including its policy, if any, concerning relative weights to be assigned to each criterion.

6.1.2 If the appropriate committee determines that a recommendation for promotion is in order, the forms supplied by the Office of Academic Affairs shall be used to frame the recommendation, with appropriate supporting materials. A notification will go to all members of the faculty early each fall advising of dates by which such recommendations must reach the Office of Academic Affairs.

6.1.3 The same notice will also indicate a date by which recommendations for promotion prepared by an individual faculty member are to reach the Office of Academic Affairs. An individual faculty member shall always be entitled to recommend himself or herself, or others, for promotion, outside the regular departmental review procedure. Such recommendations will be referred back to the appropriate department committee or committees established in 6.1.1 above, for evaluation and comment. Regardless of the nature of the evaluation and comment, such recommendations, together with the evaluation and comment, shall then be forwarded as provided below for recommendations arising from the regular departmental review procedures. A faculty member recommended for promotion under this subsection shall be entitled to the same evaluation communication by personal interview and, if requested, in writing specified in 6.1.1 above.

6.1.4 In schools having departmental structure, departmental recommendations for promotion shall be forwarded to the appropriate committee(s) of the school. The chairperson of the department shall individually indicate, and forward with each recommendation, his or her concurrence or non-concurrence, together with such comments as he or she may wish to add. School committee(s), and their procedures, shall be established in accordance with the decision-making procedures of the school on file with the Secretary of the Faculty Senate.

6.1.5 If the appropriate committee of the school recommends promotion, the recommendation shall be forwarded to the Office of Academic Affairs for consideration by the University Committee on Promotions and Tenure (hereinafter called the "UCPT"). If there is a negative determination by the school committee, the faculty member shall be promptly informed in writing that the faculty member's promotion file will be forwarded to the UCPT for consideration only if he or she specifically so requests. All recommendations reaching the UCPT shall indicate the concurrence or non-concurrence of the Dean, together with such comments as the Dean may wish to add.

6.1.6 The UCPT shall request the Dean of any school with one or more candidates for promotion or tenure to present in person the criteria used in arriving at that school's recommendations.

6.1.7 The addition of material to the file by the faculty member involved or by others, at any time prior to or during review by the UCPT, shall always be permissible.

6.1.8 The UCPT is a committee of twelve chaired by the Vice Chancellor for Academic Affairs, who votes only in the case of ties. The Vice Chancellor for Research and Graduate Studies is an ex officio member, and the Faculty Senate Executive Committee names one of its members to serve for one year. Nine members of the faculty, named by the Faculty Senate Executive Committee by virtue of delegation from the Chancellor, serve overlapping three-year terms. The UCPT shall be broadly representative of the University faculty by both distribution and rotation of its membership.

6.1.9 The UCPT acts in an advisory capacity to the Chancellor, who makes recommendations to the Board of Regents. The Chancellor's recommendations are not made public until they have been approved by the Board of Regents. Official notifications are made to those affected by the Vice Chancellor for

Academic Affairs. In cases of denial of promotion, the reasons for denial shall also be officially communicated to the faculty member and done so officially in writing upon request from that faculty member.

6.1.10 The Board of Regents normally acts on promotions once a year, and all promotions become effective with the faculty member's next regular appointment (i.e., academic or fiscal year).

Section 2. Tenure.

6.2.1 The University of Kansas subscribes to the 1940 A.A.U.P. statement on Academic Freedom and Tenure or such amendment or revision by the A.A.U.P. as may be adopted by the Kansas Board of Regents.

6.2.2 Normally all recommendations for promotion to the rank of Associate Professor, if the faculty member is not already tenured, will be considered also as recommendations for the award of tenure.

6.2.3 Prior to the beginning of the spring semester each year, the Office of Academic Affairs will distribute to the deans of schools a list of faculty members whose tenure status must be reviewed before the end of the current academic year.

6.2.4 Such review, as well as otherwise prompted review for the granting of tenure, shall be conducted in conformity with such portions of the internal procedures for promotion set out in Section 1 of this article as may readily be applied to any such review.

Section 3. Notice of Non-Reappointment.

6.3.1 Notice of non-reappointment may be given to a faculty member at any time prior to the mandatory date for a tenure decision. The Board of Regents has adopted the A.A.U.P. statement of 1964 which stipulates the timing of such notices:

6.3.1.1 Not later than March 1 of the first year of service, if the appointment expires at the end of that academic year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.

6.3.1.2 Not later than December 15 of the second year of service, if the appointment expires at the end of that academic year, or, if the appointment for a second year of service terminates during an academic year, at least six months in advance of its termination.

6.3.1.3 At least 12 months before the expiration of an appointment after two or more years of service in the University. This places the notification deadline on the last day of the academic year for faculty members on nine-month appointments, and on June 30 for those on 12-month appointments.

6.3.2 Normally non-reappointment decisions originate in the departmental committee specified in 6.1.1 above. If a departmental committee decides to recommend non-reappointment, written notice shall be sent by the departmental chairperson (or the dean) to the faculty member on or before the date on which that recommendation is forwarded to the next review level.

6.3.3 The normal procedure for forwarding recommendations for non-reappointment shall be from the chairperson of the department to the dean of the school to the Vice Chancellor for Academic Affairs. At each level the appropriate administrator shall indicate his concurrence or non-concurrence.

6.3.4 The decision to issue a notice of non-reappointment will in no case be made without consultation with the dean and/or department chairperson. The legally effective notice of non-reappointment will be issued over the signature of the Vice Chancellor for Academic Affairs and shall be sent no later than the appropriate deadline date listed under 6.3.1, 6.3.1.1, 6.3.1.2, or 6.3.1.3 above. The notice shall include a statement that the reasons for the decision will be made available in writing if the faculty member requests it.

6.3.5 Because a faculty member not on tenure is considered to be serving a probationary period, non-reappointment may be justified, in addition to reasons related to the faculty member's performance as a teacher, scholar, and member of the University community, by criteria based upon departmental or school plans for future faculty development, by budgetary considerations, or by a departmental or school decision that its needs should be filled with a different individual. (See the A.A.U.P.'s 1968 Recommended Institutional Regulations on Academic Freedom and Tenure.)

Section 4. Appeals.

6.4.1 A faculty member who asserts that a decision to deny promotion or tenure, or to give notice of non-reappointment, has been produced by conditions that constitute an abridgement of academic freedom or a violation of established procedures of the University, the school, or the department, and who has not succeeded in obtaining a favorable reassessment of that position through the channels through which the original decision was made, is entitled to appeal. The Senate CODE of the University of Kansas grants to the Faculty Senate Committee on Tenure and Related Problems exclusive jurisdiction over such an appeal.

6.4.2 Copies of the procedures adopted by the Committee on Tenure and Related Problems can be obtained from the Office of Academic Affairs or from the University Attorney.*

6.4.3 Under those procedures, the burden of proving an alleged abridgement of academic freedom or an alleged violation of procedures is on the complaining faculty member. This is in accord with the Recommended Procedures of the A.A.U.P.

III. PROCEDURES FOR CASES INVOLVING ACADEMIC FREEDOM AND TENURE

Cases of the Dismissal of Tenured Faculty and of Dismissal Prior to the Expiration of Term Appointments

Preamble

The Kansas State Board of Regents, by a *Minute* of 18 April 1947, adopted without reservation the 1940 *Statement of Principles on Academic Freedom and Tenure* of the American Association of University Professors. Therefore, it is understood that a Faculty member with tenure is deemed qualified to serve the University throughout his academic career unless the record, by a preponderance of the evidence, affirmatively demonstrates his deficiency with reference to one or more grounds for dismissal that have been set forth in the published rules, regulations, or codes of the University or may be set forth in the laws of the State of Kansas or the resolutions of the Kansas State Board of Regents. A faculty member serving without tenure (i.e., in provisional status) is entitled to timely notice of any intent not to renew his appointment; in this respect the 1964 A.A.U.P. Statement, by virtue of its adoption by the Kansas State Board of Regents (*Minutes* of 21 March 1968) controls. When carried out within these limitations, notice of intent not to reappoint is not a dismissal. Review of cases of non-reappointment is possible only if infringement of academic freedom can be shown; the procedure is prescribed in Section III of this Code.

If, on the other hand, a non-tenured faculty member is not reappointed and timely notice has not been given or if the appointment of a tenured faculty member is terminated, the grounds for termination shall be subject to a full review governed by the procedures set forth below as *Informal* and *Formal*. If a question arises concerning the termination of the services of a Faculty member, he shall not be suspended from his previously assigned institutional duties during the period necessary to resolve the question, unless his discharge of those duties clearly constitutes a threat of immediate harm to himself or others. In the latter case the Chancellor shall reassign the Faculty member to other duties that seem appropriate, if any are available. The Faculty member shall be continued on his regular salary while all the proceedings are pending.

---

* See Appendix III.

Informal Procedures

Section 1. If a question arises concerning the termination of the services of a Faculty member whose status places him in either category defined in the Preamble (which shall hereafter be understood), the Chancellor or his authorized representative (hereafter a reference to "the Chancellor" shall be understood to include as an alternative "or his authorized representative" and whenever an authorized representative acts on behalf of the Chancellor his actions shall be deemed the actions of the Chancellor) shall discuss the matter with the Faculty member in a personal conference. Prior to the conference the Chancellor shall send to the Faculty member, in writing,

1. A clear statement of the facts which have given rise to the question, and
2. A statement that the Faculty member is invited to attend a personal conference at a specified time, date, and place, and that he may bring with him academic advisers and legal counselors if he deems it necessary, and
3. A statement that any information adduced or arguments advanced in the conference may later be used as admissions at a formal hearing, and
4. A statement that a personal conference can be successful only if the facts and issues are confronted within the context of a genuine, candid attempt to find a solution to a mutual problem; and that as a means conducive to this end the Chancellor will welcome the views of the Faculty member and will present his own views on the question.

Section 2. At this point the matter may be concluded by mutual consent. If so, and unless explicitly requested by the Faculty member not to do so, the Chancellor shall send a signed letter setting forth the settlement to the Faculty member within fifteen days after the settlement.

Section 3. At or as a result of the personal conference, the Chancellor and the Faculty member shall, within three days, select an Advisory Committee, which shall offer its confidential advice to the parties and attempt to effect a settlement. The Advisory Committee shall consist of three tenured Faculty members, one selected by the Chancellor, one selected by the Faculty member, and a third selected by agreement between the Chancellor and the Faculty member. The Committee shall elect its own chairman, who shall immediately notify the Faculty Executive Committee of the Faculty Senate of its creation.

Section 4. If an adjustment arranged by the Advisory Committee is agreeable to both parties, the matter may be concluded at this point by mutual consent. If an adjustment has been agreed upon, and if the Faculty member has not made an explicit request to the contrary, then the Chancellor shall write and sign a letter incorporating the terms of the settlement and shall arrange its delivery to the Faculty member within fifteen days after the settlement has been reached.

Formal Procedures

Section 1. If a question has arisen concerning the termination of the services of a Faculty member, and if the procedures set forth above have been exhausted, then, and not until then, may formal procedures be initiated, and in this event the procedures defined below shall apply.

Section 2. A formal procedure shall be initiated by the dispatch of identical copies of a formal communication from the Chancellor to the Faculty member and to the chairman of the Senate Committee on Tenure and Related Problems (hereinafter called the Committee), containing the following:

1. A statement of the Charge or Charges relied upon, set forth in plain and descriptive English, and
2. A detailed summary of the evidence upon which the Charges are based, and
3. A first list of witnesses to be called (the names of other witnesses to be communicated when they become known), and
4. A copy of the pertinent Kansas statutes and University regulations that govern the Faculty member's procedural and substantive rights, specifically including but not being limited to relevant (a) statutes, (b) by-laws and rulings of the Kansas State Board of Regents, (c) Faculty legislation, including (d) statements concerning the proper composition, procedures, and powers of the Committee, and
5. A statement that the Committee shall conduct a hearing on the Charges, and
6. A statement that the time and place of the hearing shall be set by the Committee, and shall be communicated to the Faculty member, and shall be such as shall allow the Faculty member adequate opportunity to prepare his defense, normally not less than thirty days, and
7. A formal invitation to the Faculty member to attend the hearing accompanied by academic advisers and legal counsellors of his choice.

Section 3. Upon the request of the Faculty member, separate copies of the Statement of Charges shall be sent to The American Association of University Professors and to any other appropriate professional organizations, together with formal invitations to send an observer to the hearing. These Statements and invitations shall be sent by the Chancellor.

Section 4. Not less than one week before the date set for the hearing, the Faculty member shall submit to the Chancellor and to the Committee his written Answer to the Charges, or he shall state to the Chancellor and to the Committee that he does not desire a hearing to be held.

Section 5. Prior to the hearing the Faculty member shall submit a copy of his Answer to each of any professional organizations that at his request have been sent copies of the Statement of Charges, or he shall send to each of them his statement that he does not desire a hearing to be held.

Section 6. If any evidence is tendered during the hearing to which objection is made on the ground that it is not within the issues raised by either the Statement of Charges or the Answer, the Committee may allow either the Statement or the Answer to be amended, and shall do so freely, especially when the presentation of substantive issues will thereby be facilitated. Whenever an amendment has been allowed at the instance of one party, and the other party so requests, the Committee shall grant the objecting party a reasonable time within which to prepare his case on the new issue or issues that have been raised and to meet the evidence tendered.

Section 7. If the Faculty member fails to answer the Chancellor's Statement of Charges, or if he states that he does not desire a hearing to be held, the Committee shall consider whether the alleged grounds constitute adequate cause for his dismissal, and the Committee may, in its discretion, (a) request the Chancellor to present proof of the Charges and (b) independently investigate their truth. Ultimately, the Committee shall forward a statement of its decision on each of the Charges, and on the case as a whole, to the Chancellor and to the Faculty member, and to any professional organization that is known to have chosen, in response to a formal invitation, to send an observer to the proposed hearing, and shall place at least one copy in the University Archives as a public document.

Section 8. The Committee's decision on the case shall be final and binding, and the case shall be deemed closed, unless either the Chancellor or the Faculty member institutes an appeal to the Board of Regents under the procedures set forth below.

Section 9. If the Faculty member submits an Answer to the Statement of Charges as contemplated in Section 4, then the following procedures shall apply.

1. The Chancellor or the Faculty member may by written request to the chairman of the Committee ask, at least one week before the date set for the hearing, that one or more

named members of the Committee be disqualified because they are biased, prejudiced, or have a personal interest in the case or in its outcome. After providing an opportunity to appear and be heard, the Committee shall determine whether cause for the requested action has been shown, and this determination shall be made at least one day prior to the start of the hearing. If cause is found, the regular members of the Committee who have been challenged shall be replaced by the procedure set forth below in Part II, Section 2.

2. The Faculty member may, at least one day before the hearing is scheduled to begin, indicate to the chairman of the Committee his desire that the hearing shall be (a) public or (b) private, and the chairman shall grant the request. However, if the Faculty member fails to indicate his preference, the Committee in its independent judgment shall determine whether the hearing shall be public or private.
3. The Chancellor, the Faculty member, and their respective academic advisers and legal counsellors, all shall have the right to be present at the hearing at all times, as shall any observer sent by a professional organization in response to a formal invitation.
4. The hearing shall proceed in the following order: The submission of (a) evidence by the Chancellor in support of the Statement of Charges; (b) evidence by the Faculty member in support of his Answer; (c) rebuttal evidence by the Chancellor; (d) rebuttal evidence by the Faculty member; and (e) closing arguments. However, in rare cases, if the Committee believes that a clearer or more expeditious way of exploring the issues can be achieved by varying this normal order of proceeding, it may so order.
5. The testimony of witnesses and other evidence shall be received by the Committee; however, any testimony on which the opposing party is not afforded a reasonable opportunity for cross-examination shall be stricken from the record of the hearing. The rules of evidence applicable in courts of law shall not be binding at the hearing, but may be consulted by the Committee in its discretion. The University shall make available to the Faculty member, and to his advisers and lawyers, all the authority it possesses to obtain information and to require the presence of witnesses and the production of evidence relevant to the issues of the hearing.
6. Both parties, their representatives, and the Committee shall have the right to summon and to question all witnesses, and to present other evidence relevant to the issues of the hearing.
7. The Committee, in its discretion, may exclude a witness from the hearing-room except while he is testifying.
8. If professional incompetence has been charged, there shall be admitted as evidence, in addition to individual testimony, a formal report on the work of the Faculty member by his colleagues in his department and in cognate departments of the University; and if the Faculty member so requests, there shall be admitted as evidence a report by a committee of fellow specialists from other institutions, selected by agreement between the Faculty member and his departmental colleagues; and if the Charges include incompetence in the classroom, testimony from students who have been taught by the Faculty member may be received. Any judgment by the Committee on the point of professional incompetence must be restricted to, and based upon, the evidence delimited above, and cannot properly rest upon any other considerations.
9. In its discretion, the Committee may proceed independently to secure the presentation of evidence at the hearing, and it may direct the parties, or either of them, to produce evidence on specific issues that it deems significant.
10. The principle of confrontation and full examination of the evidence shall prevail throughout the hearing.
11. The burden of proving the Charges shall rest on the party bringing them, and the burden of proving a Charge must be sustained by a preponderance of the relevant evidence.
12. A verbatim record of the proceedings shall be made. The record may be made by a recording device or by a stenographic reporter, in the sole discretion of the Committee. A full transcript of the proceedings shall be furnished the Committee and the parties. In the event the record is made by a recording device, it shall be sufficient if the Committee and the parties are furnished the original recording or duplicates thereof in lieu of a written transcript. The cost of making the record and the transcriptions shall be borne by the University.
13. The Committee shall not be bound by the formal procedure of the law courts.
14. In its discretion, the Committee may adjourn the hearing from time to time in order to permit the parties to obtain further evidence.
15. The Committee may request written briefs from the parties, and shall accept them if they are offered.

Section 10. The Committee shall defer its decision until the verbatim record of the hearing has become available, except in a case where the Committee believes that it can render a just decision in the absence of a verbatim record. In all cases, the Committee shall render its decision in the full light of the requirement that the burden of proof of the Charges rests upon the party bringing them.

Section 11. All the decisions of the Committee shall be based solely upon the record of the hearing.

Section 12. The Committee shall make specific findings of fact to support its conclusions on each of the alleged grounds for dismissal. A copy of the Committee's opinion, setting forth its disposition of each issue in the case together with the reasons by which it justifies its conclusions, shall be made available to each of the parties, and to any observer who was sent to the hearing by a professional organization in response to a formal invitation to do so, at the time when the Committee announces its decision in the case; and at least one copy shall be filed at that time in the University Archives as a public document.

Section 13. Appeal from the decisions of the Committee shall be in accordance with applicable provisions of the University Senate Code.

The Committee on Tenure and Related Problems

Section 1. The Committee on Tenure and Related Problems shall be constituted according to the relevant provisions of Article XII of the Senate Code of the University of Kansas, entitled Standing Committees of the Faculty Senate.

Section 2. In the event of a successful challenge to one or more members of the Committee, as provided above in *Formal Procedures*, Section 9, they shall be replaced by other members of the Faculty Senate chosen by the Faculty Executive Committee.

Cases of the Non-Reappointment of Non-Tenured Faculty at the Ends of Their Contractual Terms, and of Infringements of Academic Freedom and Tenure

Preamble

All the members of the Faculty are entitled to academic freedom. The University has wide discretion in regard to reappointment of a non-tenured member of its Faculty at the end of his contractual term; however, if a Faculty member without tenure, who has been notified he has not been reappointed, or of his failure to achieve tenure (which normally involves the proffer of a limited, terminal appointment) alleges in a written communication to the Chancellor, with a copy to the chairman of the Committee on Tenure and Related Problems, that the decision not to reappoint him or to deny him tenure, has stemmed from

considerations that involve an infringement of academic freedom, then the following procedures shall apply.

Or if a Faculty member comes to believe that his academic freedom or his rights of tenure have been substantially infringed though without relation to reappointment or denial of tenure, and if he so alleges in a written communication to the Chancellor, with a copy to the chairman of the Committee on Tenure and Related Problems, then also the following procedures shall apply.

Procedures

Section 1. The matter shall be submitted to informal adjustment as governed by the procedures set forth above under the heading *Informal Procedures.*

Section 2. If an informal adjustment does not satisfy the Faculty member, he may then request a formal hearing. He shall be responsible for stating and proving the grounds on which he bases his allegations. The hearing shall be governed by the procedures set forth above under the heading *Formal Procedures,* with such alterations as are deemed necessary by the Committee to reflect the fact that the Faculty member and not the Chancellor is the charging party.

Section 3. In the kind of cases described in the second paragraph of the Preamble, if the Committee finds that the rights of the Faculty member have been substantially infringed, the statement of its decision shall include a recommendation for appropriate remedial action.

IV. SELECTION, APPOINTMENT, TENURE AND REVIEW OF CHAIRPERSONS, DEANS, DIRECTORS AND VICE CHANCELLORS
(Lawrence Campus only)

I. Introduction

1. State law places responsibility for the administration of the University in the Chancellor, who is the chief executive officer of the institution, and who is enjoined to act in accordance with policies established by the Board of Regents. Legally, therefore, chairpersons, deans, vice chancellors and other administrative officers are accountable to the Chancellor and serve at his pleasure. In turn, the Chancellor has designated the Executive Vice Chancellor as the principal administrative and academic officer of the Lawrence campus. Academically and operationally it is clear that all administrative officers within a university must also be responsive to faculty and to students, and in some instances also to a professional constituency.

2. The selection and conditions of service of administrative officers within the University must reflect these twofold relationships. The present policy statement has been prepared in full recognition that there are wide differences among the schools and, within schools, among departments. The intent of this document is to provide guidelines, not prescriptions.

3. Although not specifically mentioned in each section of this document, it is assumed that each selection process will be consistent with the University affirmative action guidelines, and will avoid any conflict of interest: a search committee for a position should not include a candidate for that position.

II. Selection and Appointment of Chairpersons

1. Whenever, by resignation or other circumstances, a vacancy has been created or will be created in the chair of any department, the dean of the school concerned shall communicate this fact to the Vice Chancellor for Academic Affairs who in turn shall inform the Vice Chancellor for Research and Graduate Studies.

2. The dean shall then convene the voting members of the department (including students insofar as students are voting members of the department) to review the procedures to be followed. This shall include consideration of steps required to assemble a search committee.

3. The department will either elect faculty members to serve on the search committee or it will entrust the responsibility to an existing elective group within the department. In either case, provision shall be made for the inclusion of student members on the search committee. Whenever possible, student representation should be approximately 20%.

4. The dean of the school, in consultation with the Vice Chancellor for Academic Affairs and the Vice Chancellor for Research and Graduate Studies, shall name two additional members who shall be from related areas.

5. The committee shall be convened for its initial meeting by the dean of the school. At this first session the dean shall review the procedures to be followed and provide the committee with such information as it may require for the discharge of its functions. The Vice Chancellors for Academic Affairs and for Research and Graduate Studies shall be invited to this meeting and provide the committee with appropriate suggestions. The committee shall elect a chairperson from among its own members whose responsibilities shall include close and continuous liaison with the dean of the school. It shall be the dean's responsibility, with the advice and consent of the Vice Chancellor for Academic Affairs, to decide whether or not it is appropriate to search for candidates from outside the university, as well as from among the faculty already here.

6. If it is decided to seek prospects from other universities (or, generally, from locations other than this university), the most promising shall, if responsive to an overture from the University, be invited for a campus visit. This visit shall include opportunities to confer with chairpersons of related areas, in addition to faculty members, students, and the dean of the school involved. All candidates should be scheduled for conferences with the Vice Chancellors for Academic Affairs and for Research and Graduate Studies. Candidates from within the University shall be provided comparable opportunities for interviews and conferences.

7. The committee shall present its recommendations first to the department. More than one name shall be presented for consideration.

8. It shall be for the voting members of the department to make the final recommendations from the committee's list. Generally, the department will be expected to recommend more than one candidate. The department may rank the candidates if it chooses. The department's choices shall be communicated to the dean of the school who, after consultation with the Vice Chancellors for Academic Affairs and for Research and Graduate Studies, shall make the appointment for a specified term not to exceed five years. Normally, the department's wishes shall be respected in making the appointment.

9. Public announcement of the appointment shall be made by University Relations on instructions from the Vice Chancellor for Academic Affairs.

III. Selection and Appointment of Deans

1. Whenever, by resignation or other circumstances, a vacancy has been created in the deanship of one of the schools (or the College of Liberal Arts and Sciences), the Vice Chancellor for Academic Affairs shall confer with the faculty-elected standing committees in the school (College) to review the procedures to be followed in selecting the new dean. If no such committees exist, the Vice Chancellor shall confer with an appropriately representative faculty-chosen group of the faculty. This review committee shall consider with the Vice Chancellor for Academic Affairs the steps required to assemble a search committee.

2. The Vice Chancellor for Academic Affairs will invite the faculty to submit names of faculty members proposed for membership on the search committee. The faculty members of the search committee shall be chosen by the Vice Chancellor for Academic Affairs with the advice and consent of the review committee in such a manner as to insure that the expressed preferences of the faculty are respected, as well as such range of major interests as

may exist within the school. Wherever appropriate, persons representing related interests, such as members of a professional constituency, may also be included in this committee.

3. The selection of student members of the search committee shall be accomplished by making use of duly elected student advisory or representative groups in the school. If no such groups exist, selection of student members of the search committee shall be accomplished by whatever method seems most likely to produce most effective representation. If there are significant numbers of graduate students in the school, the student membership of the search committee should reflect this fact. Whenever possible, student representation should be approximately 20%.

4. The Vice Chancellor for Academic Affairs, or a person designated by the Vice Chancellor, will serve as a (non-voting) *ex officio* member of the search committee. The Vice Chancellor for Research and Graduate Studies, or a person designated by the Vice Chancellor, shall serve as a (non-voting) *ex officio* member of all search committees for the deanship of schools offering degrees in the Graduate School.

5. The committee shall elect its own chairperson and take such steps as will expeditiously produce a list of possible candidates. This shall always include an invitation to the faculty to nominate likely prospects but the committee should not limit its canvass to such nominations.

6. The committee will have to decide early, with the advice and consent of the Vice Chancellor for Academic Affairs, whether or not it is appropriate to search for candidates from outside the university, as well as from among the faculty already here. If it is decided to seek prospects from other universities (or, generally, from locations other than this university), the most promising shall, if responsive to an overture from the University, be invited for a campus visit. This visit shall include, if at all feasible, opportunities to confer with the deans of the other schools on campus, in addition to faculty members, students, and the dean of the school involved. Candidates for deanships must have an opportunity to meet and visit with the Vice Chancellor for Academic Affairs, the Vice Chancellor for Research and Graduate Studies, the Executive Vice Chancellor and, whenever possible, the Chancellor. Candidates from within the University shall be provided comparable opportunities for interviews and conferences.

7. The search committee shall make its recommendation to the Vice Chancellor for Academic Affairs. At least three and normally not more than four candidates shall be presented, ranked if possible.

8. The appointment shall be made by the Vice Chancellor for Academic Affairs after consultation with the Vice Chancellor for Research and Graduate Studies in the case of schools in graduate areas, and with the approval of the Executive Vice Chancellor and the Chancellor. It would be appropriate for the Vice Chancellor for Academic Affairs to make a brief report to the search committee on his or her choice. The appointment will be reviewed not more than five years after the date of initial appointment. Continuing appointment will be contingent upon the results of the review.

9. No announcement of the appointment shall be made until the Chancellor has communicated the decision to the Board of Regents. Public announcement of the appointment should be made by University Relations on instructions from the Vice Chancellor for Academic Affairs.

IV. Selection and Appointment of Vice Chancellors

1. The selection and appointment of vice chancellors is the responsibility of the Executive Vice Chancellor and the Chancellor. When a vacancy exists, the Executive Vice Chancellor should assemble a search committee, seeking nominations and suggestions from the Council of Deans, the Council of Directors of University Divisions, the University Council, the Senate Executive Committee, the executive administrative group, and, where appropriate, representatives of student affairs and business affairs. Membership on the search committee will include representatives of the administrative group which reports to the vice chancellor position to be filled, faculty members, students (whenever possible, approximately 20%), and, where appropriate, analogous groups in business and student affairs. The committee shall elect a chairperson from among its members.

2. Procedures analogous to those for the selection and appointment of deans should be followed. As in the case of deans, appointments shall be reviewed after not more than five years.

3. No public announcement shall be made until the Chancellor has communicated the decision to the Board of Regents.

4. Public announcement of the appointment should be made by University Relations on instructions from the Executive Vice Chancellor.

V. Acting Chairpersons, Deans and Vice Chancellors

1. If the exigencies of the situation require the designation of a person to serve as chairperson, dean, or vice chancellor in an acting capacity, an appropriately representative group of the faculty of the department, school or unit concerned shall be consulted before such a designation is made. It would be assumed that the designee is acceptable to faculty members with whom he or she will be dealing. Acting chairpersons shall be named by the dean of the school, with the consent of the Vice Chancellor for Academic Affairs, who shall consult the Vice Chancellor for Research and Graduate Studies when appropriate; acting deans of schools shall be named by the Vice Chancellor for Academic Affairs with the consent of the Executive Vice Chancellor and Chancellor, acting Vice Chancellors shall be named by the Executive Vice Chancellor with the consent of the Chancellor.

2. It shall not be the practice to make "acting" designations to cover absences of one month or less but this shall always be done if the regular appointee expects to be absent for a period longer than one month. However, every department, school and unit should have a clearly established understanding of who is responsible for the affairs of the department, school or unit if the regular appointee is absent, unavailable, or incapacitated, and this information should be available to the dean of the school in the case of chairpersons, and to the Vice Chancellor for Academic Affairs, the Executive Vice Chancellor and Chancellor in the case of deans, to appropriate administrators in the case of other units and to the Executive Vice Chancellor in the case of Vice Chancellors. In selecting persons to receive "Acting" designations, it is assumed that appropriate affirmative action procedures will be followed.

VI. Associate and Assistant Chairpersons, Deans, and Vice Chancellors

1. The designation of persons to serve as associate or assistant chairpersons, deans, or vice chancellors is regarded as a matter of administrative determination, since these administrators serve primarily at the pleasure of the chairperson, dean, or vice chancellor. It would be assumed, however, that the designee is acceptable to those with whom he or she will be dealing. Approval of the dean of the school concerned shall be obtained for the designation of associate or assistant chairpersons; approval of the Vice Chancellor for Academic Affairs shall be obtained for the designation of associate or assistant deans; approval of the Executive Vice Chancellor shall be obtained for the designation of associate or assistant vice chancellors. In selecting persons to receive Associate and Assistant designations, it is assumed that appropriate Affirmative Action procedures will be followed.

VII. Provision for Periodic Review

1. Appointments of chairpersons, deans, and vice chancellors shall be reviewed comprehensively within a period not to exceed five years. Such review shall be required before a decision is made to continue the appointment. Chairpersons, deans, and vice chancellors who have served for more than five years prior to the official approval of this document shall be reviewed as soon as possible, and within five years of their appointment if they

have served for less than five years. The Vice Chancellor for Academic Affairs shall maintain a list of all chairpersons and deans, with the scheduled date of review. The Executive Vice Chancellor shall maintain a list of the vice chancellors with their scheduled review dates.

A. Review of Chairpersons

1. Review procedures for chairpersons shall be established by a committee appointed by the dean of each school, said Review Procedures committee to consist of faculty from all ranks above the rank of instructor and representative of each division within that school, and including a proportionate number of undergraduate and graduate students. Reviews of chairpersons shall be conducted by committees appointed by the dean of each school and composed of faculty, staff, and students drawn from the department and from the school or university at large at the discretion of the dean.

2. The reports of the review committees shall be based on, but not necessarily limited to, information solicited from students, staff, and faculty in the department, other chairpersons in the school, and, where appropriate, the professional constituency of the department. The Review Committee will take particular care to learn the will of the department whose chairperson is being reviewed, and whether it wishes him or her to continue in office. Due care will be taken that communications to or interviews with the committee by members of the department will be held in strictest confidence. Normally the wishes of the majority of the department will be respected by the review committee, unless the other findings of the review are significantly at variance with the department's wishes. The appointment will be reviewed not more than five years after the date of the initial appointment. Continuing appointment will be contingent upon the results of the review.

3. The review committee shall submit its report to the dean who will forward a copy, with his or her recommendations appended, to the Vice Chancellor for Academic Affairs, and where graduate programs exist, to the Vice Chancellor for Research and Graduate Studies. A copy of this report shall be conveyed to the department and to the Review Procedures Committee at the same time.

4. In addition to the periodic reviews described above, each chairperson shall be reviewed whenever a two-thirds majority of the faculty of a department shall indicate its desire for a review of its chairperson, or whenever in the judgment of the dean, and with the concurrence of the Vice Chancellor for Academic Affairs, such a review is called for.

B. Review of Deans

1. The review of deans shall be the responsibility of the vice chancellor to whom they report, who shall consult with the Council of Deans, the Senate Executive Committee, and, in schools with graduate programs, the Vice Chancellor for Research and Graduate Studies to establish procedures. The review committee shall be appointed by the Vice Chancellor to whom the dean reports, and normally shall elect its own chairperson. Generally the committee will be composed of faculty members of the dean's school, faculty members from related areas, appropriate administrative officials, and students.

2. The report of the review committee shall be based on, but not necessarily limited to, information solicited from faculty, students, and chairpersons in the school, peers on the Council of Deans, central administration, and, where appropriate, representatives of the professional constituency. The review committee shall submit its report to the appropriate vice chancellor who will forward a copy with his or her own recommendation, to the Executive Vice Chancellor and the Chancellor. The appointment will be reviewed not more than five years after the date of the initial appointment. Continuing appointment will be contingent upon the results of the review.

3. In addition to the periodic reviews described above, each dean shall be reviewed whenever a 2/3 majority of the faculty of his/her school or unit shall indicate its desire for a review of its dean, or whenever in the judgment of the vice chancellor and with the concurrence of the Executive Vice Chancellor such a review is called for.

C. Review of Vice Chancellors

1. The review of vice chancellors shall be the responsibility of the Executive Vice Chancellor who shall develop procedures in consultation with the Council of Deans, the Council of Directors of University Divisions, the Senate Executive Committee, the executive administrative group, and, in the case of business affairs and student affairs, with groups comparable to the Council of Deans and the Council of Directors of University Divisions. Membership on the review committee shall consist of representatives of the groups mentioned above and the student senate. The committee shall be appointed by the Executive Vice Chancellor and normally shall elect its own chairperson. The committee shall report its findings to the Executive Vice Chancellor and the Chancellor.

2. In addition to the periodic reviews described above each vice chancellor shall be reviewed whenever a 2/3 majority of the members of the unit indicate their desire for a review, or whenever in the judgment of the Executive Vice Chancellor and the Chancellor such a review is called for.

D. Review of Assistant and Associate Chairpersons, Deans, and Vice Chancellors

1. Assistant and associate chairpersons, deans, and vice chancellors serve primarily at the pleasure of the chairperson, dean, or vice chancellor. It is assumed, however, that the designee is acceptable to faculty members or others with whom he or she is dealing. Because of the inextricable relationship between the administration of the primary executive and his or her associates, review of the administration of a unit should include the review of these associates. When such positions exist, the review committee report should include a section related specifically to the assessment of the associates' performance and effectiveness.

VIII. Selection, Appointment and Review of Directors of University Divisions

1. Although not specifically stated in this policy, it is assumed that selection, appointment and review of directors will follow the guidelines here described. The appropriate vice chancellor is responsible for implementing these guidelines and for carrying out the selection, appointment and review of directors in the units that report to his/her office.

INDEX

Academic Affairs, A.3, A.4, A.6.b.1, A.6.c.1
academic calendar, F.1
academic freedom, I.1, C.8, Appendix III
academic misconduct, F.8
academic rules and regulations, F
administrative organization charts, A.6
admission, F.2
advising, F.2
affirmative action, I.2
alcohol regulations, I.9
Alumni Association, A.3
animal care, H.5.b
annual report, faculty, C.9
appeals, C.8, Appendix II, Appendix III
appointments, C.1
appointment, administrators, Appendix IV
appointment policies and procedures, faculty, C
appointment terms and benefits, D
Athletic Board, B.2
Athletic Corporation, A.3
attendance, F.3

bibliographic searches, H.6
Biomedical Sciences Support Grant, H.6
birth, proof of date, D.3
Board of Regents, A.1, A.6.a
book orders, G.6
Business and Fiscal Affairs, A.2, A.6.d

calendar, academic, F.1
campus mail, G.1
campus speakers, I.3
Center for Research, Inc., A.3, H.6
chairpersons, A.5, Appendix IV
Chancellor, A.2, A.6.a., B.2
charter, governmental bodies, B.1
charts, organization, A.6, B.3
classes, F.2
classified research, H.2
Clinical Affairs, A.4, A.6.c.2
College of Health Sciences and Hospital, organization, A.4
committees, B.2
compensation, extra, D.5, D.6, D.9, E.2
Computer Service, H.6
conduct, standards of, I.4.b
confidentiality of student records, F.7
conflict of interest, I.4
conflict situations, I.4.a
consulting, I.4, I.5
Continuing Education appointments, D.6
conversion, term of appointment, D.8
copyright procedures, H.3
counseling service, F.9.c, F.10

date of birth, proof, D.3
deans, A.3, A.5, Appendix IV
Dean of Men, F.9.a
Dean of Women, F.9.a
deductions, payroll, D.4
directors, Appendix IV
divisions, A.3
duplication services, H.6

Eleven Month Rule, D.7
emeritus staff, D.12, D.17, D.22, D.23
Employee's Oath, D.2
employment after age seventy, D.21
employment after retirement, D.22
Endowment Associztion, A.3
enrollment, F.2
enrollment, faculty and staff, D.20
equipment funds, H.6
entertainment, official, G.8
events, scheduling, G.11
examinations, F.5
Executive Secretary, A.2, B.2
Executive Vice Chancellors, A.2, A.3, A.4, A.6.b, A.6.c
extra compensation, D.5, D.6, D.9, E.2

facilities consultation, H.6
Facilities Planning, A.6.f
Faculties and Academic Affairs, A.6.c.1
Faculty Council, B.2
Faculty Executive Committee, B.2
faculty ranks, C.2
faculty report forms, C.9
Faculty Senate, B.2
final examinations, F.5
fines, parking, G.10
Fiscal Affairs, A.2, A.6.d

General Counsel, A.2
General Research Funds, H.6
government, University, B
governmental organization chart, B.3
grades, F.6
Graduate Council, A.5
Graduate Faculty Travel Funds, H.6, D.11
Graduate Student Travel Funds, H.6
graphics, H.6

Health, Safety, Research, H.5
health insurance, D.12
health physics—radiation sources, H.5.c
Health Service, student, F.9.b, F.10
hospitality, official, G.8
hospitalization insurance, D.12
human rights, I.6
human subjects, H.5.a

identification cards, D.19
illness, absence for, F.3
improvement of instruction funds, H.6
insurance, D.12, D.14, D.15
Intensive English Center, F.9.d

Kansas Public Employees Retirement System, D.13

Lawrence campus, organization, A.3
leave policies, E
leave without pay, E.3
Life and Salary Continuation Insurance, D.14
lobbying regulations, I.8

mail service, G.1
Medical Center administration, A.4, A.6.c.4
meetings of learned societies, travel, D.11
Memorial Corporation, Union, A.3
military leave, E.6
misconduct, academic, F.8

nepotism, regulations, D.18
non-reappointment, C.7, Appendix II
notary, D.2
notice of non-reappointment, C.7, Appendix

Oath, Employee's, D.2
office supplies, G.2
official hospitality, G.8
organization (charts), A.6, B.3
organization, administrative, A.2
organization, governmental, B.3
outside work, I.5

Parking and Traffic, G.9, G.10
patent policy, H.4
payment of salary, D.1
payroll deductions, D.4
policies and procedures, general, I
political activity, I.7
Planning, Director of Institutional, A.2
printing and binding, G.4
probationary period, C.6
professorships, special, C.3
promotion, C.4, Appendix I, Appendix II
publications, G.5
purchasing, G.3

radiation sources, health physics, H.5.c
ranks, faculty, C.2
Regents, Board of, A.1, A.6.a
registration, F.2
registration of vehicles, G.10
reimbursement, travel expenses, D.10
relatives, employment of, D.18
research, H
research, classified, H.2
research, health and safety, H.5
Research Administration, H.1, H.6
research aids, H.6
Research and Graduate Studies, A.3, A.6.b.3
resignations, C.10
retired staff, D.12, D.17, D.22, D.23
Retired Teachers and Employees Benefits, D.17
retirement, employment after, D.22
retirement eligibility, C.11
retirement plans, D.13
review, chairpersons, A.5, Appendix IV
review, administrators, Appendix IV
rosters, class, F.2
rules and regulations, academic, F

sabbatical leave, E.1
sabbatical leave, extra compensation, E.2
safety, health, research, H.5
salary continuation insurance, D.14
salary payments, D.1
scheduling events, G.11
schools, A.3, A.4, A.5
selection, administrators, Appendix IV
Senate, All-University, A.5
Senate Code, B.1
Senate Executive Committee, B.2
Senate, Faculty, B.2
Senate, Student, B.2
Senate, University, B.2
services, G
sick leave, E.5
smoking regulations, I.10
speakers, campus, I.3
standards of conduct, I.4.b
Student Affairs, A.3, A.4, A.6.b.2, A.6.c.3
Student Health Service, F.9.6
student records, confidentiality, F.7
student representation, B.2
Student Senate, B.2
students, special provisions for, F.9, F.10
summer session appointments, D.5
supplies, office, G.2
support services, A.2, A.6.e

Teachers Insurance and Annuity Association, D.13
telephone lines, G.7
television equipment, H.6
tenure, C.5, Appendix I, Appendix II, Appendix III
tenure, administrators, Appendix IV
term of appointment, C.1
term of appointment, conversion, D.8
testing service, F.9
tests, F.5
textbook orders, G.6
titles, faculty, C.2
Traffic, Parking and, G.9, G.10
translation services, H.6
travel funds, D.11, H.6
travel, reimbursement for, D.10

unemployment compensation, D.16
University Council, B.2
University government, B
University organization, A.2, A.6
University Senate, B.2

vacation leave, E.4
vehicle registration, G.10
Vice Chancellors, A.3, A.4, Appendix IV
visitors, F.4

Wichita State Branch, A.4
Workmen's Compensation, D.15